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ABSTRACT

This report presents the research and findings of the 16-member Task Force on the Role of the Special Library in Nationwide Networks and Cooperative Programs. Four working groups studied the following issues: constituencies; network legislation; benefits, barriers, and constraints to and from special library participation in networks; and the effects of the new and emerging technologies. An executive summary and a discussion of 13 strategic recommendations are provided first, followed by 7 chapters: (1) Characteristics of the Special Library Community; (2) The Task Force's Surveys; (3) NCLIS (National Commission on Libraries and Information Science) and WHCLIS (White House Conference on Library and Information Services) Perceptions of Special Libraries; (4) Networking--A Review of Selected Legislation, Regulations, and Related Issues; (5) Networking Benefits, Barriers, and Constraints from the Special Library Point of View--the Myths and the Realities; (6) New and Emerging Information Technologies--Their Push-Pull Effects on Special Libraries; and (7) Recommendations Implementation Schedule. Appendices include: two NCLIS/SLA (Special Library Association) Task Force survey instruments used in the surveys of SLA, and the networks and bibliographic utilities; six case studies of special library networking; a selected bibliography; a list of the NCLIS/SLA task force membership and a chronology of meetings and additional activities. (THC)

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NATIONAL COMMISSION ON LIBRARIES AND INFORMATION SCIENCE/
SPECIAL LIBRARIES ASSOCIATION TASK FORCE

FINAL REPORT: THE ROLE OF THE SPECIAL LIBRARY IN NETWORKS AND COOPERATIVES

Patricia W Berger, Task Force Chair
Barbara M. Robinson, Editor

VOLUME I
REPORT

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ACKNOWLEDGEMENTS

This Report represents a distillation of ideas generated by the 16 members of the Task Force on the Role of the Special Library in Nationwide Networks and Cooperative Programs. The Task Force was sponsored and funded by the National Commission on Library and Information Science (NCLIS) and the Special Libraries Association (SLA). We are particularly grateful to David Bender, Executive Director of SLA, Toni Carbo Bearman and Douglas Price, Executive Director and Former Deputy Director of NCLIS respectively, Charles Benton, Former Chairman of NCLIS, and to James B. Dodd and George H. Ginader, the 1980-81 and 1981-82 Presidents of SLA.

Much information was sifted by the Task Force in its general sessions and by the four Working Groups formed from its membership. The Working Groups studied the issues relating to the special library's *Constituencies*; network *Legislation*; *Benefits, Barriers and Constraints* to and from special library participation in networks; and the effects of the new and emerging *Technologies*. Some of the more useful publications the Task Force consulted appear in a Selected Bibliography, which is included as Appendix 3 to this Report. In addition, a number of experts briefed us on a variety of issues. We heard from Robert M. Hayes, Dean of the School of Library and Information Sciences, University of California at Los Angeles and

Chairman of NCLIS's Public Sector-Private Sector Interface Task Force; Dick W. Hays, formerly Associate Commissioner, Office of Libraries and Learning Resources, Department of Education; Alphonse F. Trezza, Director of the Library of Congress Intergovernmental Library Cooperation Project which was undertaken for NCLIS; Phyllis S. Mirsky, formerly Chief of Reference at the National Library of Medicine; and Madeline M. Henderson, a retiree of the National Bureau of Standards' Institute for Computer Science and Technology and a Consultant in computer and telecommunications technologies.

Two major data collection and survey efforts were undertaken. The first of these, a survey of the SLA membership, was successful only because of the herculean efforts of 42 of SLA's 50 Chapters. In addition, a preliminary analysis of the results of that Survey was completed by an Ad Hoc Working Group chaired by Vivian Arterberry of the RAND Corporation. The Task Force is grateful for their work on our behalf. Our special thanks also to the 2,477 SLA members who took the time to complete our SLA Survey, and to those SLA Chapter 1980-81 Presidents who responded to our questionnaire. It was these Chapter Presidents who, in less than 6 weeks, disseminated, collected, and in many instances collated their Chapter's answers. The Task Force was equally delighted to receive a 77% return from our second survey effort, which was directed to the executive directors of 17 state and regional library networks throughout the country. This second survey also produced a 100% response from the three U.S. bibliographic utilities, namely, OCLC, RLG, and WLN. We are grateful to the directors and staffs of the networks and utilities for their prompt and complete answers to our questions. Both surveys provided us important insights into the current status of special library involvement in networking; our thanks to all respondents for their cooperation.

One very special special librarian, namely, Edward G. Strable, Technical Information Manager for the J. Walter Thompson Company in Chicago, is quoted throughout this Report. While he did not physically serve on the Task Force, and therefore is not accountable for the results of our deliberations, we feel that his observations and insights, especially those he recorded in a 1974 paper he prepared for NCLIS, were so astute, so well articulated, and so enduring that we include him as an Honorary Member of this Task Force.

Finally, the Task Force is indebted forever to Debra I. King and Sandra E. Norris of the National Bureau of Standards' Library and Information Services Division staff, for the patience, persistence, energy, and good will they expended on numerous drafts of this document. Without their assistance and support, this Report would never have been completed.

INTRODUCTION

This Report reviews the present state of special library participation in nationwide networks and cooperative programs and seeks to clarify the present and future roles of special libraries in formal networks and cooperative library programs throughout the United States.

The NCLIS/SLA Task Force on the Role of the Special Library in Nationwide Networks and Cooperative Programs was established in June of 1980, and was cosponsored by the National Commission on Libraries and Information Science (NCLIS) and the Special Libraries Association (SLA). Its membership included 2 NCLIS Commissioners and 14 practicing information professionals from academic, medical, legal, and government special libraries, a state network, a library cooperative, a library school, and the publishing industry. Three of its members were past presidents of SLA. The Task Force was advised and assisted by both the then President of SLA and the Chairman of NCLIS as well as by the Executive Directors and the staffs of both organizations; by an ad hoc working group of SLA's Networking Committee; and by two experts, one on computer technology and the other on the Regional Medical Library Network. At its first meeting in October, 1980, the Task Force adopted the following mission statement:

> "Given the present state of access to information (including access via networks) the Task Force will describe, delineate, and clarify the benefits from and to special library participation, and the constraints which inhibit such participation, in a nationwide program of library and information services. The Task Force will develop a plan of action for appropriate institutions and agencies."

To begin with, it is necessary to explain how the Task Force defined 3 terms and how these terms are used throughout our Report. The terms network and cooperative are used to describe those formal, multi-library cooperative endeavors at local, state, regional, or national levels which involve organizational structure, impose requirements for membership and require some form of resource sharing. We use network as an umbrella term, to include networks, network service centers and state library authorities. Networks usually imply the use of a computer; cooperatives may or may not be computerized.

The term bibliographic utility is used to describe the large, computerized, centrally maintained databases and associated library services in the United States which are accessible via subscription, membership, or outright purchase from OCLC, RLG, and WLN.

The term special library is used to describe those libraries and information centers which are components of corporations, nonprofit institutions, businesses, legal and medical organizations, and federal, state, and local governments. In addition, special libraries are often elements of academic and public libraries. Some special libraries are structured and staffed to serve only the needs of their parent organizations. Others are special-public or "bridge" libraries; that is, they are staffed and stocked to serve not only their own agency's staff but, within limits, substantial numbers of outside institutions and individuals as well. Most special libraries are elements of larger entities, and the extent to which they can or do participate in outreach programs is determined by whether or not their parent organizations encourage or even permit them to do so. The reader is reminded that special library missions are as diverse and varied as are the organizations they serve. There is a spectrum of special libraries ranging from the special-private libraries of agencies like the ones which serve the Central Intelligence Agency or an industrial laboratory to the special-public libraries, represented by the Metropolitan Museum of Art Library in New York City or the Library and Information Services Division of the National Bureau of Standards.

The two principal ways in which all libraries, including special libraries, serve wide publics include informal cooperative arrangements and formal, often contractual, networks and cooperatives. These two resource-sharing mechanisms are not mutually exclusive. There is a continuum of involvement which begins with the traditional, informal, old-boy-old-girl network, proceeds to the area or regional uncomputerized library cooperative, thence to the online user-groups of libraries which use similar computerized services, and culminates in a commitment to a state, multi-state or national computerized library network or cooperative. Steps two and three in this process might be viewed as library service to libraries - as distinguished from library service to library users - except that each step is designed to improve the quality of service offered the library's users back home.

Our efforts did not focus on special libraries located in medical or legal institutions or on special library departments of public and academic libraries, because we wished to sharpen our focus on the hundreds of "invisible" special libraries located in corporations, businesses, associations, nonprofit institutions and government agencies. However, descriptions of the U.S. Regional Medical Library System, and the legal network, LAWNET, are included in Appendix 2 to this Report.

As it turned out, this was a mistake, because it hindered our ability to draw conclusions about the total universe of special libraries operating in a variety of networks and cooperative programs. Moreover, while the rest of the special library community is not as visible, and therefore not easily identified, it is clear to us now that the former group is far from underrepresented in the country's networks and cooperative programs. It is unfortunate that we complicated the lives of SLA's 42 Chapter Presidents and the Directors of the networks and national bibliographic utilities by asking them to report on special library networking activity after shredding out our four groups of exclusions. That was an unnecessary imposition.

The Task Force has considered the roles and missions of special libraries in a variety of institutional settings. We have analyzed the benefits and constraints deriving to and from special library network participation. In addition, we have considered the barriers - legal and attitudinal, real and imagined, which inhibit full special library participation in cooperative programs. We were especially concerned about the push-pull effects of the evolving technologies on special libraries and we have tried to predict what we believe the major results of this push-pull could be in the future. Finally, we have identified key issues special librarians, their colleagues in cooperative library activities, SLA and NCLIS all need to address in order to promote fuller participation by all libraries in comprehensive regional and national cooperative programs.

From the very beginning, our emphasis was on the special library as an institution. We were not concerned with the networking behavior of special librarians as individuals, even though some of our conclusions and recommendations necessarily focus on people rather than organizations. Our emphasis derived from our mission; we were charged by two very different kinds of organizations -- NCLIS and SLA -- to determine the institutional role of a particular genre of library in cooperative programs. This was an especially difficult charge, because SLA is an association of librarians not libraries. For this reason, frequently, we were forced to derive institutional and organizational inferences from "people" responses.

Throughout our work, we have tried to remain sensitive to the uniquely heterogenous character of the special library community and we have tried to keep in mind the ways in which the evolving information technologies continue to create or restructure resource sharing and service opportunities for libraries. These technologies continue to alter the structure, governance, character, composition and functions of library networks and cooperative programs throughout the country and we believe that the present rates of technological and library network change may even accelerate in the future. For this reason, we have tried to project how future networks and cooperative programs might be configured as they adapt to these new technological imperatives. From our deliberations, surveys, deliberations, and reading we have derived a set of recommendations which we hope will be useful to the community of library and information managers, planners, and practitioners.

During a 1980 Symposium on the networking role of special libraries, one distinguished special librarian remarked that,

> "we no longer need to put our emphasis on 'getting into networking' but on how to hold our own effectively now that we have gotten into networking."

The Task Force agrees with that observation. We hope this Report helps to illuminate the variety of interests and capabilities special libraries represent, as well as to explain how that community interacts with those library users who presently do, or will at some future time come to depend on special library help and resources to satisfy their information needs.

PATRICIA WILSON BERGER
Chair

BARBARA M. ROBINSON
Editor

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EXECUTIVE SUMMARY AND RECOMMENDATIONS

OVERVIEW

Because they serve businesses, industries, the arts, the sciences, the professions and governments, special libraries constitute the single type of library which can be found in every conceivable kind of organization throughout both the public and the private sectors of our society. Nevertheless, when matters regarding the design and implementation of broad-based library cooperative programs have been under consideration, more often than not, special libraries have been overlooked. Frequently, they have been accorded little or no role in plans or legislation designed to stimulate cooperative activities among all types of libraries. In addition, hard evidence of special library participation in formal networks and cooperatives has neither been widely recognized nor well documented. So persistent and pervasive has been the notion that special libraries ought not to be, or else choose not to be parties to networking activities, that as late as May of 1980, Edward G. Strable observed:

> "Since there appears to have been an almost ancient tradition of cooperation and resource sharing in the special library community, why is it that *LJ/SLJ Hotline* just 3 weeks ago carried a news item which reported what *LJ* considered to be a milestone among special libraries? And that milestone was a continuing education seminar held out on Long Island on the subject of library network development. 'This is a subject,' *LJ* stated, 'which would have seemed irrelevant not too long ago to the interests of special librarians.'" [1]

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As a matter of fact, LJ's 1980 opinion had been contradicted by research reported 4 years earlier. In 1974 and again in 1976, Marcy Murphy of the University of Illinois' Graduate School of Library Science conducted surveys of special library networking activity. Her research indicates that between those years, the numbers of special libraries belonging to multitype networks more than doubled. [2]

The Task Force on the Role of the Special Library in Nationwide Networks and Cooperative Programs was established to determine, document, and analyze precisely how and what special libraries have or have not contributed to resource-sharing activities among libraries and to the national information databases. The Task Force was established in June of 1980 under the joint auspices of the National Commission on Libraries and Information Science (NCLIS) and the Special Libraries Association (SLA). At its first meeting, the Task Force agreed that it ought to:

> "describe, delineate, and clarify the benefits from and to special library participation and the constraints which inhibit such participation in nationwide networks and cooperative programs of library and information services." [3]

In this Report, we have not discussed those issues and circumstances which do not affect networked special libraries in unique ways. For instance, we have not analyzed satellite or other telecommunications issues, because we do not believe they will affect networked special libraries in unique ways.

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The Task Force held four 2-day meetings, in October of 1980 and in January, April and September of 1981 and conducted two surveys of special library cooperative behavior. With the help of the presidents of 42 of SLA's 50 Chapters and the SLA Networking Committee, the first Survey was conducted in February and March of 1981. We asked the SLA membership to report the extent of their library's (not librarian's) involvement in formal networks and cooperative programs. We later reanalyzed a substantial portion of the SLA responses by tabulating them according to the nine census regions of the United States. Our second Survey in July, 1981, focused on obtaining the same kinds of data about special libraries from the Executive Directors of 17 of the larger state and multi-state networks in the United States, plus the Directors of the 3 bibliographic utilities, the Online Computer Library Center (OCLC), the Research Libraries Information Network (RLIN) and the Washington Library Network (WLN). The results of both Surveys are summarized in Chapter 2 of this Report.

In addition, we also:

- reviewed the perceptions and expectations expressed by NCLIS and the White House Conference on Libraries and Information Service (WHCOLIS) regarding the special library community and especially special library participation in national cooperative programs (Chapter 3).

- negotiated with OCLC to eliminate the requirement that member libraries contribute all their cataloging records to the public database. As a result of our efforts, this barrier has been removed (Chapter 4).

- compiled legal decisions and regulatory rulings on the tax-exempt status of networks and cooperatives which include special libraries of profit-making organizations among their members (Chapter 4).

- developed 6 case studies to illustrate the broad range of special library cooperative and network activity in a variety of settings (Appendix 2).

The Chapters of this Report also cover our examination of:

- the impacts of selected legislation and regulations on special library participation in cooperatives and networks (Chapter 4).

- the myths and realities of networking benefits, barriers and constraints from the special library point of view (Chapter 5).

- the incentives and disincentives new and emerging information technologies provide for participation in broad based cooperative efforts (Chapter 6).

Based on our analysis of all of these factors, we have formulated the following recommendations:

RECOMMENDATIONS

THE EVIDENCE OF SPECIAL LIBRARY PARTICIPATION

Recommendation 1: It is clear that the large regional and national cooperative programs have not replaced local, area-specific efforts--indeed one appears as necessary as the other to resource sharing and cooperation. The Task Force believes that in order to assess more precisely the full range of the country's resource sharing efforts, the uses of these lesser known local network organizations must be better understood. Therefore, we recommend that the SLA Networking Committee, working with selected SLA Chapter Presidents, undertake a pilot study to determine what needs these organizations satisfy and what constituencies they serve. (The data from our SLA Survey should be useful to this study.) If these needs are substantial and will continue in the future, SLA should work with NCLIS to assure that future state or national network legislation and planning do not stifle efforts successfully supplied at the local level.

Recommendation 2: The Task Force recommends that the SLA Networking Committee continue the Task Force's initial survey efforts by conducting

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biennial updates of SLA participation in networks and cooperative programs. The results of these updates should be furnished to NCLIS for planning purposes and be published in Special Libraries as well.

Recommendation 3: The Task Force recommends that SLA's subject-oriented Divisions place increased emphasis on tracking and encouraging networking activities by all special libraries (including special libraries not represented by SLA membership) in their Division's fields of interest. To accomplish this,

- each Division should appoint a committee to collect information on networking activities taking place within the Division's subject speciality;

- the Divisions should report on at least a biennial basis to the SLA Networking Committee which libraries are actively participating in networks and which libraries are not;

- the Divisions should identify those network-related issues that require R&D dollars in order to be resolved and SLA should request the management of affected organizations to furnish sufficient dollars, equipment and staff to address these issues.

Discussion

The SLA and the Networks Surveys both produced evidence of substantial special library participation in broad based networking and resource sharing programs. In addition, a comparison of the two Surveys produced evidence that a substantial number of special libraries involved in networks are not represented by membership in SLA.

Both Surveys indicated that the largest volume of such participation is in OCLC. Three hundred twelve SLA respondents reported they hold OCLC memberships, and OCLC itself reported that 21% (530 of 2565 members) are special libraries. This large discrepancy (59%) between the SLA and the OCLC totals is only one instance of the marked differences in the data from the two Surveys. One thousand one hundred thirty-seven (1137) SLA libraries reported that they hold memberships in a total of 243 networks, cooperatives, and utilities. By contrast, our sample of 13 networks reported that 35% of their aggregate membership--or 1164 members--are special libraries. Adding the 3 utilities jumps the number to 1702, which is 28% of the total memberships of the 16 organizations. When the figures from the 2 Surveys are compared for only the 11 networks and utilities which were reported in both, the discrepancy is even more pronounced. Eight hundred eleven SLA libraries reported memberships in these organizations, while the networks and utilities themselves reported special library memberships of 1647--a figure 51% higher than that of SLA's. Since 42 of SLA's 50 chapters responded to our Survey, it seems unlikely that so significant a difference can be explained away in terms of SLA

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"no-answers." Indeed, it appears that the librarians of many, perhaps the majority, of networked special libraries in the United States are not represented in the membership of SLA. Detailed tables on this and other elements of both Surveys will be found in Chapter 2 of this Report.

The SLA Survey indicated that while a relatively small number of organizations (24) account for a very large percentage of total special library network memberships (1302), a grand total of 243 online user groups, cooperatives and networks are useful and are supported by SLA library memberships. Apparently, membership in a single cooperative is not enough. Most SLA libraries which are involved in one resource sharing endeavor usually participate in at least one other; the average number of memberships per respondent was 1.9.

Perhaps the most startling result of all were the responses of the Network Directors to our question:

> "Can you identify the principal ways in which special library members contribute to the network. If so, please describe."

Eight of the networks and WLN cited special library cataloging of their unique resources; 7 networks mentioned special library service on their governance boards and advisory councils; 6 cited the willingness of special libraries to lend their resources and 5 said special librarians are "advanced thinkers."

From the foregoing, it is clear that the notion that special libraries cannot or will not conform to accepted cataloging standards is no longer accurate; further, it appears that special libraries have indeed shouldered a portion of the national interlibrary lending burden and that a fair number of them function quite comfortably in the political environments of networks. Collectively, the networks which answered this question include 920 special libraries in their membership totals. This represents 54% of the special library memberships reported by all the networks.

THE EVIDENCE OF SPECIAL LIBRARY NONPARTICIPATION

Recommendation 4: In 1975, NCLIS called special libraries "windows on the nation's information resources" and recommended that "the leaders of business and industry ... encourage (the sharing of) resources ... as a reasonable response to a national need." To accomplish this end, the Task Force recommends that representatives from NCLIS, SLA, and the nation's networks convene meetings of senior management officials from for-profit and not-for-profit organizations and government agencies to discuss ways to increase and liberalize regional and national resource and information sharing. In particular, the concerns and reservations of those industries and businesses which our SLA Survey identified as network nonparticipants should be addressed, to determine whether incentives can be developed either to eliminate or to reduce present reluctance or barriers to resource sharing.

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Discussion

Of the 2254 SLA library respondents, 50% (1117) reported that they do not participate in formal cooperative programs of any kind. No demand or interest (35%), no knowledge of networks (21%), and no money (21%) were the top three reasons given. An analysis of the largest categories of nonparticipants revealed that they are libraries in business and financial institutions, newspapers and engineering firms, petroleum, energy and chemical organizations, insurance companies, and social sciences agencies. Such organizations are highly competitive and have only limited incentive to share or to advertise what they have acquired. If NCLIS and SLA are persuaded that all or some of these interests would profit from better representation in national resource-sharing programs, then the managements of the interests these libraries represent will need to be convinced of the national advantage and importance of such representation.

BENEFITS, BARRIERS, AND CONSTRAINTS - THE MYTHS AND THE REALITIES

Recommendation 5: Since "lack of knowledge of appropriate networks" was cited by 21% of the SLA nonparticipants as a reason for nonparticipation, the Task Force recommends that the SLA Professional Development Staff design and conduct a continuing education course to acquaint Association members with the roles, duties, and responsibilities of network members; the services and resources available from networks; the contractual obligations a network and its members share; and the names, locations,

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costs, and membership requirements of selected hospitable networks and cooperatives throughout the country.

Recommendation 6: The Task Force recommends that NCLIS and SLA develop legislative incentives designed to stimulate network access and use by the small special libraries which, for lack of resources, are not permitted presently to participate in state, regional, or national cooperative programs. Unless both NCLIS and SLA take steps to insure that the needs of this group of American libraries are addressed in future library legislation, the smaller libraries and information centers will continue to be isolated from the other members of the networking community.

Recommendation 7: Given the need to share resources, the Task Force believes it is important to work to remove or to modify legal and regulatory barriers that inhibit participation in multi-type library cooperatives by all kinds of libraries at all levels. The Task Force recommends that:

- The SLA staff and legal counsel be available to consult with any nonprofit network or cooperative which needs assistance in obtaining IRS clarification concerning the appropriate percentage of for-profit member libraries in the network.

- SLA and the American Association of Law Libraries form a joint committee to collect, monitor, and publicize future legal rulings at the federal or state levels which may impact special library, including law library, participation in networks and cooperatives.

The Task Force recommends that this joint committee report new developments or changes regularly to the memberships of AALL and SLA and to NCLIS as well. The Task Force further recommends that the joint committee prepare an action plan to provide better national documentation of future IRS decisions.

- SLA's staff work closely with the Association membership to help reconcile access problems the members encounter as they increase their participation in library networks and cooperatives. The staff should communicate the results of its efforts to the membership and to NCLIS whenever the problem appears to be one which might affect other libraries or networks or one which requires legislative remedy.

- SLA's Board of Directors establish an Association award for the local, state, regional or national formal cooperative program that has been most hospitable to special libraries in all aspects of its programs.

- Representatives from SLA's Board of Directors, the Association staff, and the Networking Committee work with NCLIS and the Washington Office of the American Library Association to support adequate funding and precise language for all interlibrary cooperation legislation. The Task Force believes it is imperative that all types of special libraries be specifically mentioned and included in future federal legislation designed to stimulate

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multi-type library cooperation. Further, the Task Force believes that safeguards, such as spending "floors," must be built into such legislation to assure that library networks, cooperatives, and state authorities will, in fact, commit such funds for multi-type library experiments and projects.

Discussion:

From the Task Force's Networks Survey and several working papers which were prepared by Task Force members, six major benefits were identified which accrue both to and from special library participation in networks and cooperatives. These include:

- increasing and enriching the national information resource base
- sharing the burdens of resource lending
- increasing materials processing efficiencies; decreasing associated costs
- stimulating information exchange
- realizing volume discounts through cooperative purchasing
- reducing information retrieval turnaround time.

While none of these is new or even unique to the special library community, collectively they document the community's committment to current national resource sharing efforts. In addition, they provide substantial evidence that the much touted "specialness" which characterizes special library's packaging and transfer of information is hardly evident

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at all in a networking environment. Indeed, it appears that in many instances, participation in a multi-type library network forces each member to a better understanding and appreciation of the contributions and needs of the other members. Networking tends to de-emphasize the differences which separate one kind of library from another and emphasize instead the common needs members share. As a result, mutually supportive objectives are more easily established and more apt to be met.

We have already mentioned the three constraints most often cited by those SLA libraries which do not participate in networks; namely, no interest, no knowledge of appropriate networks and no money. While some of these responses might be construed as excuses rather than explanations, it is nevertheless true that some special libraries are too meagerly staffed or too poorly funded to participate in outside programs of any sort. The dilemma posed by such conditions is formidable. These are libraries which could profit handily from networking, but because they lack resources or time, or both, they are not desirable participants from either a network's or a network membership's point of view. They have nothing to contribute to the network or its membership and therefore they and their library users remain unserved by it. The Task Force does not know the absolute size of this group; therefore we can only guess that some subset of special libraries and their users, possibly 5-10% of the total universe, cannot become active in cooperative programs so long as participation is based on resource and records sharing. While the Task Force believes that the process of the "democractization of networks" [4] described by Swank in 1970 is beginning to occur, (for example, OCLC now provides an alternate membership not based on cataloging contributions) a serious problem continues to persist which Markuson has called

> "the problem of serving the literally thousands of small libraries as yet unserved by networks ... (and the) ... staggering inequities of access ... (by all libraries to) ... computer-based networks." [5]

We address this problem in Recommendation 6.

The Task Force was particularly sensitive to what we called the information espionage barrier, because we had evidence that OCLC's requirement that its members contribute all their cataloging to OCLC's public database had barred some special libraries from joining. On the strength of correspondence between the Task Force and OCLC, in March of 1981, that barrier was removed, and OCLC agreed to:

> "accept the judgement of the library (and) place the burden (on the library) of honoring in good faith the requirement to contribute all holdings other than those that would generally create security or competitive difficulties" [6]

To the best of our knowledge, this is the first time a national utility has recognized that extenuating circumstances may determine the extent to which libraries can participate in cooperative programs.

While we are pleased that we produced a change in this instance, we do not believe that all similar barriers can be eliminated as easily. What the OCLC Board decided is not binding on other organizations or, for that matter on future OCLC Boards. Each case will need to be reviewed and negotiated on its own merits. For example, in response to our Network Survey, three networks (ILLINET, SOLINET, and SUNY/OCLC) and one utility (RLG) indicated that there were legal barriers which affect either special library membership eligibility or special library network participation. In addition, three networks (CAPCON, CLASS, and ILLINET) said that special library participation in network governance activities was either restricted or prohibited outright.

In addition, our review of state and federal statues and IRS rulings uncovered a number of ambiguities - and few precedents - in the manner in which the various laws and regulations affecting a network's membership and sources of income have been interpreted. We would caution, however, that while we believe it is important to try to remove or modify restrictive laws and regulations in order to open up network membership to all types of libraries, it is equally important to assure that such actions do not jeopardize the tax-exempt status of the nation's library networks. For this reason, the factors in each case must be carefully considered at every stage of negotiation.

In the course of our work on networking statutes and regulations, we were repeatedly frustrated by the difficulty of documenting past IRS decisions. Indeed, we were unable to determine precisely how many of what kinds of networks had obtained what kinds of rulings from the IRS, because such rulings are usually rendered at district levels; they are not precedent and therefore until recently, they were only rarely reported in either the hard copy or online legal literature.

Another barrier is a formidable one and affects two principals in networking. There is evidence of satisfaction-with-the-status-quo among some special librarians. Ten percent of the SLA nonparticipants gave answers which indicated complacency and resistance to even consider network participation. However, there is equal evidence that some state librarians are not eager to fund multitype library efforts. As a result, in the past, dollars intended for such cooperative efforts have sometimes been used to support unitype library efforts, usually geared to the needs of public libraries. We are unimpressed with the argument that library funding, especially federal funding, has been so meager as to cause dollars intended for multi-type activities to be diverted to support unitype efforts. There will always be too little money to accomplish all we wish to do, but a lack of dollars in one area rarely if ever justifies creating a similar financial void in another area. Moreover, such behavior is counterproductive to the national goal of internetting the fullest possible range of the country's library and information resources.

THE PUSH-PULL OF TECHNOLOGY

Recommendation 8: The Task Force recommends that the SLA Networking Committee monitor the pace, character, and extent of network decentralization and recommend to SLA and NCLIS actions needed to support those

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developments which appear to be beneficial to national resource access and to ameliorate any adverse impacts resulting from further decentralization of regional and national databases.

Recommendation 9: The Task Force recommends that SLA and NCLIS be prepared to accommodate the evolving genre of subject networks in their future plans for increasing library resource sharing activities. To the extent that subject networks could constitute a threat to the large, centralized networks and databases in use today, the Task Force believes that SLA members in particular have an obligation to the rest of the information community to assure that any new programs for which they bear responsibility do not cripple existing cooperative programs.

Recommendation 10: In order to eliminate impediments to information sharing, the Task Force recommends that the SLA Networking Committee act as advocate for and advisor to SLA members whenever compromises of operational or membership requirements need to be negotiated with networks, utilities or cooperatives.

Recommendation 11: In order to assure that the fullest possible range of networking interests of the special library community are represented and balanced, the Task Force recommends that the chairmanship of the SLA Networking Committee and SLA's representative to the Library of Congress's Network Advisory Committee be rotated every 2 years among the corporate-for-profit, private-not-for-profit and public agency components of the Association.

Discussion:

It is clear that a sizeable element of the special library community is fully integrated into regional and national networks and has accepted and conformed to national standards and protocols. We believe that in the near term, special library registration of their unique information resources in the regional and national databases will continue to constitute their major contribution to broader national resource access and sharing.

In the future, we believe that increased and accelerated expansion of a larger variety of subject-oriented networks will provide an additional special library contribution to the national resource-sharing scene. Such networks are emerging now and are bolstered by the evolving minicomputer, microcomputer and videodisc technologies. It must be remembered, however, that these same technologies will continue to provide substantial capabilities for the decentralization of many presently centralized library networking activities. This is not necessarily an undesirable state of affairs; however, its evolution must be carefully planned, because lacking prior provision for systems interface, abrupt, further decentralization of major components of distributed databases could cripple the comprehensive information access capabilities we now enjoy.

The Task Force discovered that sometimes the operational requirements and membership obligations of one network are in conflict with those of another network. For example, the library lending hierarchy prescribed by a Regional Medical Library Network is often at odds with a different hierarchy stipulated by a state or local library cooperative. This poses problems for a library which is a member of both organizations. We believe such situations could well multiply if the numbers of cooperatives continue to proliferate.

Because special libraries are diverse in character, composition, and especially operational constraints, representation of their full range of interests, concerns, and capabilities is difficult at best. Nevertheless, it is vital that the total, combined interests of both the public and the private components of the special library community be articulated when networking planning, implementation, or operations are under consideration. Without such representation, new barriers are apt to emerge as rapidly as old barriers are removed. We addressed this problem in Recommendation 11.

FUTURE NETWORK IMPLEMENTATION NEEDS

Recommendation 12: The Task Force recommends that NCLIS and SLA undertake a legal review of the implications of the antitrust laws as they relate to future subject-oriented library networks. The Task Force further recommends that NCLIS and SLA develop and publish antitrust guidelines to assist networks and cooperatives in their planning for network configurations.

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Recommendation 13: The Task Force recommends that the Board of Directors of SLA set up a committee to review the statistics the Association collects in order to improve data collection, reporting, and member profiling activities. In particular, the Committee should seek ways to improve the kinds of institutional information collected and maintained in the Association's records and files. There is sufficient evidence from the Network Survey to encourage SLA to define and to stipulate the universe of interests the Association represents.

Discussion:

The Task Force believes it has done a reasonable job of documenting past and present legal barriers to special library networking. We suggest, however, that a legal review be undertaken of the implications of the anti-trust laws as they relate to the operations of library networks, especially subject or mission-oriented networks which include large numbers of libraries of for-profit organizations. The counsel of one large corporation saw no anti-trust problems arising from subject networks comprised of cooperating for-profit organizations; two other attorneys did. That the matter needs to be reviewed is evident from a 30 May 1982 Washington Post article on a jointly financed, cooperative research and development program under study by 15 U.S. computer firms.
William Shaffer, spokesman for the Control Data Corporation, noted that all

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15 companies agree on the "need to maximize the value of their research and development dollars."

> "'Given the availability of capital and talent and the pressure to shorten development cycles, and the exploding range of individual technologies that have to be pursued in depth, joint R and D can save time, money, and recruiting expense.
>
> The prospect of cooperative product development among competing companies raises obvious antitrust questions. Shaffer said federal antitrust officials 'had been informed of the discussions ... (and) a draft proposal ... (will be sent to the Justice Department) ... by the end of summer.'
>
> A senior antitrust official at the Justice Department said ... 'there are circumstances where joint research activities are permissible and promote efficiency.'" [7]

The possibility and feasibility of founding private, not-for-profit organizations to provide the for-profit sector with appropriate, legal mechanisms for subject-oriented, cooperative network operations needs also to be explored. Perhaps such non-profits could also solve the networks' present dilemma concerning the numbers of profit corporation library members admissible under I.R.C. Sec 501(C)(3) while simultaneously providing a solution to the antitrust problem if one appears to exist.

On several occasions, the Task Force was frustrated in its efforts to obtain information about the characteristics and institutional constituencies represented by the SLA membership. For example, we wished to know--and still do not--the relative significance of the most and least networked SLA subject areas in terms of the percentages they represent of the total SLA universe in those areas. That is, financial libraries were at the bottom of the list of networked libraries which responded to our Survey. Unfortunately, we were unable to determine what the percentage of the responding, nonparticipating financial libraries represents of the total number of all financial institutions whose librarians hold memberships in SLA.

A FINAL OBSERVATION

There remains the question of why the extent and range of documentable special library networking activities continue to be a well kept secret in the library community. Perhaps it is because characteristically, special *librarians* take on the coloration and nature and assume the motives of the institutions they serve. In addition to the economic shifts all librarians experience and learn to accommodate, in their parent organizations, special librarians are also expected to adjust to radical, sometimes frequent policy shifts which invariably alter organizational goals and objectives as well. Often, special librarians and the libraries they run are "invisible" to the outside world because, when they work well, they become indispensable, indistinguishable components of the larger organization. For this reason, it may seem more natural and therefore be more comfortable for the special librarian to assume the political and operational "coloration" of the network he or she joins, rather than to coalesce with other special librarian members into a vocal, politically identifiable element of the network. Strategically, this may not be the wisest course; operationally, it is second nature to most special librarians.

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Chapter 1

CHARACTERISTICS OF THE SPECIAL LIBRARY COMMUNITY

CHAPTER OVERVIEW

To understand the role of any thing or any body, one must know its characteristics including something of its history and accomplishments, its present status, and in what ways it is likely to develop or move. Chapter 1 of this Report provides information on the first 3 of these 4 characteristics as they relate to special libraries in a networking environment.

WHO THEY ARE, WHAT THEY DO, WHO THEY SERVE

Diversity

The 6th edition of the Gale Research Company's Directory of Special Libraries and Information Centers lists over 15,000 special libraries in the United States and Canada [1]. The special library is the single type of library found in all sectors of our society - public and private, profit and not-for-profit. They exist as part of every conceivable variety and kind of institution, including businesses, industry, government agencies, research organizations, associations, unions, newspapers, museums, foundations, educational, scientific and technical institutions, hospitals and law firms. Indeed, many public and academic libraries include among their resources large, well-developed, in-depth information collections

collections which are considered special library collections and are usually housed apart from the library's other resources. Without exception, the roles and missions of special libraries are defined by their "parent" organizations.

Collections and Services

Likewise, the scope and depth of a special library's collection and the range of its services are determined by the information needs and institutional responsibilities of the organization the library serves. If the organization's role is perceived or mandated to be a public one, chances are its library will also be responsible to the public to some degree. On the other hand, if the parent organization is not accessible to the public, its library is not apt to be available for general use. Characteristically, collections in special libraries house materials on a single or relatively closely related groups of subjects. They are distinguished by their depth of treatment in specific areas, not by by their breadth of coverage across a wide range of topics. Writing in the January, 1981, issue of Technology Review, Professor Henry Petroski of Duke University described the qualitative differences between the collections of a scientific special library and a public library:

> "The collection of a typical technical library is likely to be catalogued under only two of the 10 major classes of the Dewey system, the 500s and 600s, which contain the pure and applied sciences, respectively. The collection of a public library, on the other hand, spans the classification spectrum from 001 to 999

> and goes beyond it by throwing in a massive amount of creative writing, usually under the numberless designation F, for fiction.
>
> Technical libraries can thus be thought to stress detail by amassing information to more and more decimal places, while the general library is more interested in providing grosser, order-of-magnitude approximations. It also provides, through fiction and its poetic relatives, a view of the world that is qualitative rather than quantitative, subjective rather than objective." [2]

In sum, the public library provides diverse populations with information of a general and generally qualitative nature, while the special library provides limited publics with detailed, complex, objective information and data necessary for the advancement of businesses, the professions, technologies, the arts, and the sciences.

Staff Expertise

In addition to enriching their collections with unique and specialized materials, special librarians must be able not only to amass information, but also to analyze it and package it in ways most helpful to their users. It follows that special librarians must be geared to provide accurate and precise information quickly and on demand. For this reason, the special library staff often includes subject specialists and reference librarians who hold the masters or PhD degree in technical fields such as law, medicine, biology, physics, and chemistry. Because of their extra expertise, special librarians frequently function as full-fledged members of research staffs, working on substantive problems in such areas as low temperature physics or cryogenic engineering.

Many special librarians have been quick to embrace automation in order to improve their abilities to respond quickly and more precisely to user requests for information. Indeed, several of the network directors who responded to the Task Force's 1981 Network Survey observed that their special library members are in the vanguard of identifying and adapting the newer technologies for obtaining, manipulating, and managing information. One member of this Task Force holds especially strong views on the importance of adaptation to change for librarians:

> "A newspaper report of a recent library association meeting in San Francisco featured a speech in which librarians were 'reassured that the Book is here to stay'. Only those librarians who equate survival of the profession with survival of the book were reassured. If the sole duty and skill of the professional revolves about the book; acquiring, organizing, shelving, and circulating it, ours is not a profession but a warehousing operation requiring little more skill than can be provided by a high school education and a modicum of common sense." [3]

Clientele and Visibility

With the possible exception of special library departments of public library systems, the primary users of a special library's resources and services are the staff of its parent organization and people who have working relationships with the parent organization. Special libraries often are not "visible" to the public because they are imbedded in the organization they serve; often, they are not staffed, equipped, or arranged for physical access by the outside public. Policies concerning their use by outsiders vary greatly from library to library. Much depends on the sources of the library's financial support, its geographic location, the "public" orientation of the library's employer and the content of the library's collections. This latter circumstance becomes especially critical if the special library's collection includes sensitive, proprietary, or classified information and data.

It is not unusual for the general public to be unaware of the existence of special libraries, located as they are out of public view in office buildings, in industrial complexes, and as branches, centers, or divisions of the organizations they serve. Frequently, this lack of public visibility is intentional. In a 1974 paper he prepared for NCLIS, Edward G. Strable, Manager of Information Services for the J. Walter Thompson Company of Chicago, suggested that the invisibility of many special libraries is a trait they share with other institutions of our society:

> "It must be remembered that a sizable proportion of special libraries spring from, and are very much a part of, the capitalistic system. And this is a system which emphasizes competition, individuality, privateness, and other characteristics which are in opposition to commonality of goals and activities." [4]

It follows that those special libraries which are part of either sensitive government agencies or highly competitive firms concerned about possible sabotage or violations of data privacy are obliged to adjust to real and immutable barriers to interlibrary cooperation and networking. Some of these barriers are discussed in detail in Chapters 2 and 3 of this Report.

COOPERATION AMONG SPECIAL LIBRARIES

Despite their variety, individuality, and the institutional mandates which often constrain their activities, special libraries have long supported informal, interlibrary cooperative arrangements within their own community. Out of this cooperation and resource sharing have come informal old-boy-old-girl networks which are rooted in professional courtesy, personal acquaintance, and trust. For many years, these networks have generated useful projects and products, such as library resource directories, union lists of serials, and special borrowing privileges. They continue to do so today. Strable notes that:

> "The cardinal principal of finding the information needed, no matter where it might be, has always required large measures of informal cooperation . . . So widespread and successful have the unstructured arrangements become that there is a pervasive feeling in the special library field that the formal networks will not work as well since formality entails elements of red tape, deliberateness, and time consumption which the special library method of operation cannot usually tolerate." [5]

Despite their past emphasis on informality, the results of the Task Force's 1981 Survey of the SLA membership did not support the point of view Strable espoused regarding formal networks. Our Survey revealed that special libraries are now involved in a wide range of semi-structured or contractually organized cooperative activities, most of which include various types of libraries. Fifty percent of the responding SLA libraries reported that they presently belong to one or more formal, multi-type library cooperatives or networks. It is clear that over the last decade or so, substantial numbers of special librarians have found it profitable, effective and desirable to supplement their long-standing old-boy-old-girl arrangements with participation in formal networks and cooperative programs. Note that we said "supplement" - the Task Force found no evidence that one form of interlibrary cooperation has been substituted for the other.

COOPERATION BETWEEN SPECIAL LIBRARIES AND OTHER TYPES OF LIBRARIES

The question of whether or not a formal nationwide network of all types of libraries could measurably improve resource sharing, collection development, and document delivery systems has been widely debated for over 10 years. While it is now apparent that no grand design for network architecture can be imposed on U.S. libraries from the top down, discussion continues on how best to link libraries with one another from local levels up. Special libraries cannot afford to be left out of these policy discussions on future linkage systems at local, regional, and national levels. Like their colleagues in other types of libraries, special librarians must continue to seek ways to contain the costs associated with locating, acquiring, and processing library resources and information. As a result, many have come to rely on the shared processing systems and centralized resource databases most often available through formal networks. In addition to information, networks often furnish them the document delivery services they need while simultaneously helping them to reduce their materials processing costs.

> "For years, a considerable literature has given some attention to the special library's parasitical nature: e.g., reliance on academic and public library resources while continuing themselves as essentially 'private' resources, except for their relationships with other special libraries. The practice has not been so much one of excluding users from the outside as much as it has been one of avoiding a program for reaching out. But now that the chips are likely to be down, some special libraries are beginning to wonder whether they have anything of value in the way of services and materials to offer other libraries and outside users. The question is changing from 'will we give?', since a positive answer is inevitable, to 'what can we give?'" [5]

The Task Force's Surveys of both the SLA membership and the directors of the regional networks and the bibliographic utilities produced substantial evidence that the chips are indeed down and the special library community is responding. There is a clear record of an increasingly strong and growing commitment to special library sharing through their participation in formal, multitype library networks.

PRESENT AND FUTURE TRENDS

Without question, the special library community of the future will continue to be a highly varied one. In addition, the special library is the single type of library projected to grow throughout the 1980s as new business, consulting companies, professional associations, and research and firms generate increased demand for information and data. [6] Throughout the special library community, there resides an enormous amount of organized information only partially accessible at present to outside users. In the past, this reservoir has been unexploited or unexploitable as a national information resource. However, this situation appears to be changing. Within the constraints mentioned earlier, the resources of many special libraries are being publicized and made available via the systems provided by the library networks and utilities. This means that outside persons and institutions with legitimate needs for access to special library resources can now gain access. Their experiences with local, state, and regional networks have convinced many special librarians that networks can and do provide a relatively painless method for accommodating such access _without_ interferring with either the library's requirement for physical privacy or its primary obligation to serve its parent institution. Appendix 2 to this Report includes a description of one such success story; namely, the Kansas City Library Network. What is required next is further development of network access protocols, to undergird and to facilitate even broader "off-site" public access to special library resources throughout the country.

A 1979 Issue Paper prepared by SLA for delegates to the White House Conference on Libraries and Information Services noted that

> "not maximizing the utility of these (special library) collections or what is worse, dismissing them as privately-held information resources which are not accessible to the public, is to be deplored as representing simplistic, if not uninformed, judgement." [7]

The Task Force believes that future problems created by the juxtaposition of these opposing needs - the need for open access vs. the need for privacy - must continue to be addressed by the networks and utilities working with their memberships. Both NCLIS and SLA have supporting roles to play. The

Task Force recommends that whenever individual SLA members encounter problems of this nature, the SLA Networking Committee function as the agent for action and hopefully, resolution of such difficulties. We believe the SLA Networking Committee can actively assist SLA members in finding appropriate solutions by providing the "corporate" memory and the negotiating vehicle needed to successfully overcome problems. A discussion of the Task Force's successful efforts to resolve a single issue of this type for OCLC's special library members will be found in Chapter 2 of this Report.

In addition, the Task Force recommends that NCLIS play more of an activist role in this area than it has in the past. In its capacity as advisor to the President and the Congress, NCLIS should articulate to both the executive and the legislative branches of government the realities which determine the conditions under which special libraries can and cannot participate in national networks and cooperative programs. Increasing the public's access to special library collections is possible and desirable. But to do so effectively, NCLIS will need to be sensitive to the peculiar environments in which special libraries operate. There is no model or standard special library; each must function within the constraints imposed by the demands and intent of its parent organization. It is essential, therefore, that, whenever library legislation or regulations are under consideration or development, NCLIS be able to articulate these unique characteristics and needs of the special library committee as well as its capabilities and potential contributions.

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Chapter 2

THE TASK FORCE'S SURVEYS

CHAPTER OVERVIEW

In 1883, Lord Kelvin wrote:

> "When you can measure what you are speaking about and express it in numbers you know something about it; but when you cannot measure it, when you cannot express it in numbers, your knowledge is of a meagre and unsatisfactory kind." [1]

Because opinions vary widely regarding both the nature and the extent of special library participation in multitype library cooperatives and networks, and because most of these opinions appear to be speculative, not based on facts or data, during 1981, the Task Force conducted two surveys of the networking activity of special libraries. The first was a survey of the SLA membership, portions of which were reanalyzed later by members of the Task Force. The second was a survey of the directors of 17 of the larger state and multi-state networks and bibliographic utilities throughout the country.

For reasons explained later in this Chapter, we asked the SLA members and the network directors not to report the network participation of law or health science libraries or the special library departments of public libraries and academic institutions. Both our SLA and our network survey produced substantial results. Forty-two of SLA's 50 Chapters (representing

81% of the Association's membership) responded to our first Survey and 11 of the Chapters reported that 55% or more of their members had responded. Our second Survey was limited to the networks and utilities listed in the Appendix of Susan K. Martin's book, Library Networks, 1981-82 (White Plains, Knowledge Industry Publications, 1981). A total of 20 networks and bibliographic utilities were sent questionnaires; 16 - or 80% - were filled out and returned to us.

From these two efforts, we learned the following:

- Fifty percent (1137) of the special libraries represented by SLA memberships belong to networks and cooperatives and 50% (1117) do not.

- Seventy-five percent of the SLA libraries in government agencies or other public institutions reported that they belonged to networks; 50% of the private non-profits reported memberships as did 44% of the corporate, for-profit SLA libraries. In all, SLA libraries reported memberships in 243 separate and distinct networks and cooperatives.

- The 16 networks reported that 35% of their member libraries, (1164) are special libraries; when networks supplied figures on the three-way special library split, they reported that 40% came from corporate for-profit organizations, 10% from non-profit institutions and 50% from government or other public agencies.

- The three bibliographic utilities reported a total of 538 special library members, which represented 20% of their total aggregate membership. Twenty-five percent of them are in corporate, for-profit organizations, 19% in nonprofit institutions and 55% in government or other public agencies.

- Library networks which include special libraries are most active and prosperous in those regions of the country characterized by correspondingly vigorous state library support of multitype library cooperation. When funds or initiative are lacking for multitype activity, so is special library participation.

- despite the many different kinds of special libraries in the United States, as a class, only the health science libraries are heavily networked throughout the country.

- The claim "the fewer the libraries, the greater the urge to cooperate" is not supported by the data from our Surveys.

- Special libraries in all nine regions of the country reported memberships in OCLC. Indeed, OCLC membership was the one most frequently reported (312) by SLA's special libraries.

CLASS and FEDLINK were the second and third most frequently reported.

- Interlibrary loan, union lists and cataloging were the first, second and third network services reported most used by SLA libraries. The network directors ranked cataloging, training/continuing education and interlibrary lending/borrowing as the services most heavily used by their special library members.

- "Lack of demand" was the reason most often given by SLA libraries reporting that they did not participate in multitype networks or cooperative programs, followed by "lack of funds" and "lack of knowledge of networks."

- SLA libraries which have not joined multitype efforts are most apt to be found in businesses and financial institutions, engineering organizations and newspapers.

- There are marked and significant differences between the data reported by SLA librarians and similar data reported by the network directors. For example, SLA reported a total of 90 member libraries in FEDLINK; FEDLINK reported 340 special library members. Similarly, SLA reported 77 memberships in ILLINET, but the ILLINET Director reported 400 special library members. Finally, SLA reported 297 OCLC memberships while OCLC reported that 530 of their (March, 1981) total 2565 member libraries were special libraries.

- The network and utility directors reported that the role of their special library members is manifested by their "contributing unique holdings to the database;" "willingness to lend materials;" "willingness to take an active role in network governance by serving on our board/council."

- Two of the networks and one bibliographic utility reported legal or administrative barriers to full special library participation in network activities. Three additional networks reported that special libraries are barred from serving on their governance boards or councils.

After reviewing the data of both Surveys as well as some of the literature on networking, the Task Force concludes that, in the past, special libraries have been the innovators of networks only when those networks have been agency or subject specific. Otherwise, special libraries are the joiners, not the creators, of formal cooperative programs.

SPECIAL LIBRARIES ASSOCIATION SURVEY

The Task Force's SLA Survey consisted of a questionnaire sent to SLA's 11,500 members in January of 1981. With the help of the presidents of 42 of SLA's chapters, we asked the membership to tell us whether their libraries serve (1) corporate, for-profit organizations; (2) private, non-profit organizations; or (3) government/public agencies. We also asked them to list the names of all formal networks and cooperative program memberships their libraries hold, and we requested they list the services and products they received by virtue of those memberships.

Markuson has observed that the architecture of library networks in this country varies, having evolved:

> "as a practical and reasonably efficient way for network services to be provided rapidly to hundreds of libraries in every state and region of the U.S. . . . (As a result, the architecture of networks) . . . is flexible and largely nonprescriptive allowing each area of the country to adjust to prevailing political, economic and library conditions." [2]

Recognizing this diversity in both the organization and the operating styles of networks and not wishing to exclude any genre of formal cooperative from our Survey, the Task Force opted for a broad description of the formal network or cooperative. We asked the SLA membership to report participation in all programs which

> "involve some sort of structure, impose requirements for membership and require resource sharing." [3]

Finally, we asked those special librarians whose libraries did not participate in formal cooperative programs to tell us why not.

To assist us, SLA's Networking Committee established an Ad Hoc Working Group which conducted a preliminary analysis of the responses and prepared tabulations of the results. Because SLA is an organization of librarians not libraries, the Working Group limited the responses tallied to one per library, except in the case of organizations with multiple libraries, in which case one response for each separate library was included. The Working Group was chaired by Vivian Arterberry of the RAND Corporation. In less than six weeks, the Group collected 2477 responses and tabulated 2254 of them. The total of responses received represent 22% of SLA's 1980 membership and equates to 17% of the 15,000 U.S. and Canadian special libraries listed in the 6th Edition of Gale's Directory of Special Libraries. [4]

The Ad Hoc Working Group's Preliminary Analysis was reviewed by the Task Force at our April, 1981, meeting. Of the 2254 responses analyzed, the Ad Hoc Working Group reported that the percentages of special libraries which do or do not participate in networks was evenly split - 1137 special libraries reported that they do participate and 1117 reported that they do not. Table 1 at the end of this Chapter sets out these responses by library type.

The 1137 yes respondents reported that they participated in a total of 243 separate and distinct networks. In all, they hold 1838 network memberships, 1302 of which are in 23 networks. See Tables 2, 3, and 4 at the end of this Chapter for tabulations of this data. In addition, the Group identified seven network services SLA members reported as most useful. Table 5 tabulates this data. Finally, the Working Group analyzed and tallied the responses of those special libraries which do not participate in formal networks and cooperative programs. These results are set out in Table 6.

While the Task Force recognizes that the Survey questionnaire resulted in "double counting" whenever a special library held memberships in both a state or multi-state network and a bibliographic utility (for example, a federal library which obtains its OCLC services through the FEDLINK network), we did not eliminate either type of networking organization from our overall count. Most networks offer their memberships more than simple brokering of the services of a bibliographic utility, while the utilities sometimes interact directly with member-libraries regardless of their network affiliations. For these reasons, the Task Force did not choose one kind of cooperative activity over the other.

The Task Force's Reanalysis of the SLA Survey Data was undertaken during June of 1981 when selected Task Force members retabulated 85% of the SLA responses. They were sorted into the nine geographical regions used by the Bureau of the Census to divide up the country, which are:

New England Region (Maine, New Hampshire, Vermont, Massachusetts, Connecticut, Rhode Island)

Mid-Atlantic Region (New York, Pennsylvania, New Jersey)

South-Atlantic Region (Maryland, Delaware, Virginia, District of Columbia, West Virginia, North Carolina, South Carolina, Georgia, Florida)

East-South-Central Region (Mississippi, Alabama, Tennessee, Kentucky)

East-North-Central Region (Wisconsin, Illinois, Michigan, Indiana, Ohio)

West-North-Central Region (North Dakota, South Dakota, Minnesota, Nebraska, Iowa, Kansas, Missouri)

West-South-Central Region (Louisiana, Arkansas, Oklahoma, Texas)

Mountain Region (Montana, Idaho, Wyoming, Nevada, Utah, Colorado, Arizona, New Mexico)

Pacific Region (Hawaii, Alaska, Washington, Oregon, California)

We undertook this extra effort in order to identify pockets of both special library cooperative activity and inactivity. Our retabulations uncovered the following additional information about SLA members.

- The combined memberships of SLA's responding Chapters constituted 81% of SLA's 1980 membership (11,500). The 7 nonresponding SLA Chapters are located in Arizona, Central Pennsylvania, Eastern Canada, Europe, Long Island, New York (1,463 members), and Western Michigan. The Toronto Chapter (431 members) did respond, but their responses were not included in our reanalysis.

- Eleven of the responding Chapters reported that 55% or better of their members answered our questionnaire. The names of those Chapters and their response percentages are tabulated in Table 7 at the end of this Chapter.

- Nineteen Chapters reported that at least 50% of their responding members do participate in networks and formal cooperative programs; collectively, these Chapters accounted for 38% of the total membership. Twelve of the 19 are located in regions of the country in which special library networking appears to be heaviest. See Table 8 at the end of this Chapter for tabulations of this data.

The Task Force's regional analysis is based on 334 fewer responses than were included in the preliminary analysis of the SLA Survey data (2254 vs. 1920, Table 9.) However, this change in sample size does not appear to have skewed our data significantly. Table 10 sets out the reanalyzed network memberships by organization type. It is proportional and otherwise comparable to the Ad Hoc Working Group's earlier preliminary analysis of the larger sample.

Of the 9 Census Regions in the country, 5 show that more SLA libraries are networked than are not. Table 11 tabulates this data by region and by type of special library. Note that the highest activity is in the South-Atlantic Region, while the lowest level of activity is in the West-South-Central Region. Table 12 identifies the 5 Regions of the country which have SLA networking levels in excess of 50%; Table 13 arrays this information by type of special library within each Region. Tables 14 and 15 present similar information for the four Regions in which less than 50% of the responding SLA libraries participate in formal cooperative programs.

Our regional analysis of the SLA data uncovered several interesting aspects of the networking characteristics and behavior of special libraries and of state and local networking officials as well. In addition, it shed some light on what is required to encourage participation by a variety of special libraries in broad-based cooperative programs.

- First, special libraries of corporate, for-profit organizations comprised the largest group networked in two of the five Regions yielding SLA networking statistics of 50% or better. Special libraries of government or public agencies were most numerous in the other three heavily networked Regions. The nonprofit component of the special library community was not dominant in any Region; it was highest in the Mountain Region, where it accounted for 26% of all responses.

- Second, special libraries of corporate, for-profit organizations comprised the largest group of non-networked special libraries in three of the four Regions of the country which yielded SLA networking statistics of less than 50%.

Special libraries of government and public agencies were most numerous in the fourth Region.

- Third, when we compared the 1981 dollar figures reported by the states to the Association of Specialized and Cooperative Library Agencies (ASCLA) for multitype network support in the East-North-Central and Mountain Regions (heavily networked) with those reported in the West-North-Central and Pacific Regions (not heavily networked), we discovered that multitype network investments as a proportion of total resources were significantly higher in many of the states of the East-North-Central and Mountain Regions. [5] For example, according to the ASCLA compilation, Illinois committed 90% of its available funds to multitype cooperative activities; Utah spent 84%; Indiana allocated 54%; and Colorado invested 52% of available funds on multitype programs. By contrast, of the 12 states comprising the West-North-Central and Pacific Regions only one, namely, Minnesota (90%) spent more than 35% of the total funds available on multitype cooperative programs. [5]

While it cannot be stated without exception that vigorous state sponsorship of multitype library cooperation is a necessary catalyst for special library participation, it is evident that, lacking such state commitment, the chances for success of sustained multitype library cooperation are slim to none. For this reason, the Task Force believes that future assessments of special library resolve to cooperate and share must include also an assessment of existing state, regional, and national support for such resolve.

- Fourth, while it is obvious that access to dependable, affordable telecommunications systems is fundamental to broad-based resource-sharing and cooperation, the presence of such systems is not, of itself, sufficient to stimulate special library participation in multitype networks. For instance, the special libraries of the Mountain Region are more heavily networked than are their counterparts in the New England Region, even though the Mountain Region's telecommunications systems are less well developed - and certainly no cheaper - than they are in the New England states.

- Fifth, the claim that "the fewer the libraries the greater the urge to cooperate" is not supported by the results of our Survey. For example, three of the four Regions not distinguished by their levels of special library cooperation and networking include the states of Maine, Vermont, New Hampshire, Oklahoma, and Hawaii. These same states are also not distinguished by the total number of libraries within their borders.

- Sixth, the area of the country most heavily networked from the special library point of view is the South-Atlantic

Region which includes several heavily populated states with many libraries of all types. Sixty-three percent of the special libraries in that Region reported that they do participate in some sort of formal cooperative; the libraries of government/ public agencies account for 58% of all special library networking throughout the Region. Of those libraries not networked, libraries of corporate for-profit institutions account for 43%, followed by libraries of private nonprofit organizations (34%).

- Seventh, the area of the country least committed to networking from the special library view is the West-South-Central Region. Sixty-five percent of the responding special libraries in that Region reported that they do not participate in formal cooperative programs. Of the total 175 SLA libraries which responded, 94 libraries of corporate, for-profit organizations reported that they do not participate in formal cooperative programs of any kind. An examination of the ASCLA Report on 1981 levels of library cooperation reveals the following information about networking activities in the states of the West-South-Central Region:

Arkansas did not report any of its 1981 library activities - cooperative or otherwise.

Louisiana reported that special libraries are members of 6 of its 9 cooperatives. Three of the 6 are health sciences cooperatives, 1 is a law library cooperative and the remaining 2 appear not to be dedicated to any one subject or field.

Oklahoma reported that special libraries are members of all 3 of its multitype cooperatives, however, 2 of the 3 are restricted to health sciences libraries.

Texas reported that of its 18 single-type library cooperatives, special libraries are eligible for membership in just 1; of Texas's 11 multitype cooperatives, 5 were limited to special libraries of health sciences organizations; an additional 5 appear to include a variety of special libraries. [6]

- The data indicate that thus far, state, regional and national efforts to provide access to the resources of special libraries have tended to focus on the health sciences libraries. For this reason, only health sciences libraries are well represented in cooperative programs throughout all sections of the country.

The Task Force identified 4 network services most frequently used by the SLA membership; these are tabulated in Table 16. Of these:

- Interlibrary loan was cited in all 9 Regions of the country as an important and useful service provided by the networks and utilities; it topped the list in 7 of the 9 Regions.

For a Region-by-Region analysis of network services, see Table 16A in Appendix 1 to this Report.

- Local networks and cooperative programs appear to supply important services to their members in 3 of the 9 Regions, namely, New England (37% of all services rendered), East-North-Central (5% of all services rendered), and Mid-Atlantic (5% of all services rendered). Both the East-North-Central and the Mid-Atlantic Regions reported local cooperative program participation of 50% or better.

Clearly, the utility of networks to special libraries is not nearly as limited as many non-networked special librarians have asserted. In fact, national and local network interlibrary loan services satisfy the needs of 793 special libraries from coast-to-coast. Union lists are useful to 552 special libraries and, despite the uniqueness of their collections, online cataloging via networks, RLIN, and OCLC is useful to 418 SLA libraries throughout the country.

Lastly, procurement of databases is managed through local or regional library networks for 303 SLA libraries in the United States.

Table 17 at the end of this Chapter lists the membership in networks, cooperatives, and utilities reported by the special libraries included in the sample the Task Force reanalyzed. Only OCLC was reported used by special libraries in all 9 Regions of the country; RLG/RLIN was reported by

SLA libraries in 5 Regions and FEDLINK, a broker-network for federal libraries, by libraries in 6 Regions. (Table 17A in Appendix 1 to this Report sets out this data by Census Regions.) Table 18 at the end of this Chapter summarizes the data by Regions for the top 5 networks and utilities reported by SLA librarians.

Table 19 sets out the top 10 nonparticipating types of special libraries by subject specialties. These include libraries in business and financial organizations, newspapers, and engineering firms. Organizations least likely to participate in cooperative efforts are represented by the members of SLA's largest Division, its Business and Finance Division. In 1980, the Division had 1,940 members who worked in a variety of settings, including Federal Reserve banks, manufacturing companies, investment houses, computer corporations, and offices of government/defense contractors. Business and finance libraries are elements of highly competitive organizations which have little incentive to cooperate or to share their information sources with others. Most will need to be convinced that broad-based cooperation and information sharing represent legitimate, national commitments which should be honored.

Table 20 tabulates the top 5 reasons for nonparticipation by library type. These 5 account for 91% of all responses received. Note that "Requirements imposed by networks" was given by less than 10% of our respondents. A cursory review of special library literature, with its strong emphasis on individuality and celebrated noncompliance to norms, would have led us to expect a much higher percentage for this factor.

One final caveat should be noted. The Task Force's Working Group on Constituencies had recommended that the kinds of special libraries surveyed be limited, because:

> "While the Constituencies Working Group recognizes that there are many special libraries located in academic, medical and law institutions and public libraries, we believe their networking concerns are being adequately met by their memberships in existing networks, including state and regional networks. Therefore, we recommend that the NCLIS/SLA Task Force concentrate on the benefits and constraints facing all other unidentified and apparently underrepresented special libraries in the for-profit and the not-for-profit sectors as they strive to participate in nationwide networks and cooperative programs." [7]

In retrospect, restricting our sample in this fashion was a mistake for three reasons. First, while the "unidentified" sector of networked special libraries is not nearly as visible or vocal as are the public, medical, academic and legal special library sectors, it turns out that the former sector is not as underrepresented in national cooperative programs as has been assumed. For example, the Executive Directors of 14 networks which responded to our second Survey reported that after excluding our four kinds of libraries, special libraries still constituted 35% of the aggregated memberships of their networks. In addition, OCLC, RLIN and WLN reported that special libraries (less our four exclusions) constituted 20% of their total memberships. Second, since we did not examine the entire universe of special libaries, our understanding of the total community's commitment to formal cooperation is incomplete. Finally, we made the data collection efforts of both SLA and the network directors unnecessarily complicated and cumbersome.

NETWORKS AND BIBLIOGRAPHIC UTILITIES SURVEY

The Task Force's Networks and Utilities Survey was undertaken to compare network data with the data we had obtained from SLA. In the process, we uncovered information which surprised us greatly, because it suggests that substantial numbers of networked special libraries are not represented by memberships in SLA.

We began our Networks/Utilities Survey in July of 1981 and by mid-September of that year, 13 of 17 networks and all 3 bibliographic utilities had filled out and returned our two-page questionnaire. Our Network Survey questionnaire will be found in Appendix 1 to this Report. Table 21 at the end of this Chapter lists the networks and bibliographic utilities we asked to respond. Our 16 respondents reported that their combined memberships total 6020 libraries; 1702, or 28% of them are special libraries. Tables 22 and 23 list the figures reported by the individual networks and utilities respectively, clustered by special library type. Note that special libraries comprise 35% of the networks' members and 20% of the utilities' members. Note also that the networks/utilities totals are 33% higher than the comparable totals reported by the SLA membership, i.e., 1702 memberships in 16 organizations vs. 1137 memberships in 243 organizations.

When we examined the differences in the SLA and network utilities totals for 7 of the networks and utilities which were included in both Surveys (Table 24), we found even greater variances between the responses. FEDLINK reported 74% more special library members than did SLA; ILLINET reported 82% more, but the total of 49 SOLINET memberships SLA reported was 57% higher than SOLINET's own tally of its special library members! This last variance, however, is explained in a footnote to Table 24. The first two variances cannot be explained easily, nor can the other four tallied in Table 24. We can speculate - and it is only speculation - that the commitments network memberships demand may force some special librarians to forego active participation in professional associations such as SLA. In addition, there is some evidence that networks continue to assume more and more responsibility for the training and continuing education needs of their members - needs which earlier were met by the professional associations. More often than not, the problem-solving, learning and training environment of a network is especially effective and efficient, because it is geared and tailored to the precise needs of its membership. In addition, network members usually bring to their sessions a body of shared knowledge, common competencies, specific skills, plus a mutual interest in pressing on to advance or to eliminate perceived difficulties.

Three of the larger networks (see Table 25) reported that their special library members "stimulate advanced training" and five of the networks said that networked special libraries are "advanced thinkers." These two assessments apppear to corroborate our speculation regarding the learning environment of the network. Equally interesting is what else Table 25 tells us about the role of special libraries in network activities. Nine of the 10 networks which responded to our question:

> "Can you identify the principal ways in which the special library members contribute to the network?"

indicated that special libraries enrich the common database by entering their "unique holdings." This suggests that special libraries are not adverse to advertising the contents of their collections for the benefit of others. In addition, special libraries appear willing to lend their resources, as evidenced by the responses of 6 networks who considered their role as interlibrary lenders to be a major contribution to the network.

Tables 26 and 27 rank the network services most used as reported by the SLA membership and by the network/utility directors. Note that "training and continuing education" was reported as a heavily used service by the network directors, but was virtually unreported by the SLA membership. This suggests again that perhaps many special libraries who participate in networks and utilities do not belong to professional library associations.

Finally, Table 28 lists the legal and regulatory barriers to full special library participation as reported by the network and utility directors. These are discussed in detail in Chapters 4 and 5 of this Report.

References

[1] Kelvin, William Thomson. "Electrical Units of Measurement. A Lecture Delivered at the Institution of Civil Engineers on May 3, 1883." In Kelvin, William Thomson. Popular Lectures and Addresses by Sir William Thomson (Lord Kelvin). London and New York, MacMillan Co., 1891, p. 80.

[2] Barbara Evans Markuson. "Revolution and Evolution: Critical Issues in Library Network Development." In Networks for Networkers: Critical Issues in Cooperative Library Development, ed. by B. E. Markuson and B. Woolls. New York, Neal-Schuman, 1980, pp. 11, 12.

[3] Task Force SLA Survey Questionnaire.

[4] Directory of Special Libraries and Information Centers, op. cit., vol. 1, p. vii.

[5] Report on Library Cooperation, 1982, comp. and ed. by Nancy L. Wareham. Chicago, Association of Specialized and Cooperative Library Agencies, 1982, 4th Ed., pp. 422, 423.

[6] Ibid., pp. 17, 134-137, 281-282, 342-348.

[7] Task Force Working Paper prepared by the Working Group on Constituencies.

Table 1. Preliminary Analysis: Response by Type of Organization to the Question Does Your Library Participate in Formal Cooperatives?

N = 2254

Type of Organization	Frequency/ % of Total	Yes/% of Total	No/% of Total
Corporate For-profit	1338/60%	561/48%	777/70%
Private Non-profit	366/16	187/17	179/16
Government/Public Agency	481/21	335/30	146/13
Type Not Specified	69/3	54/5	15/1
Total/%	2254/100%	1137/100%	1117/100%

Table 2. Preliminary Analysis: Network Participation: Type of Organization

N = 1137

Type of Organization	Number of Network Memberships	Percent
Corporate For-profit	825	45%
Private Non-profit	243	13
Government/Public Agency	592	32
Type Not Specified	178	10
Total	1838	100%

Table 3. Preliminary Analysis: Average Network Membership By Type of Organization

N = 1137

Type of Organization	Participating Libraries/ % of Total	Total Network Memberships	Average Number Memberships
Corporate For-profit	561/45%	825	1.5
Private Non-profit	187/13	243	1.3
Government/Public Agency	335/32	592	1.8
Type Not Specified	54/10	178	3.2
Totals	1137/100%	1838	1.6

Table 4. Preliminary Analysis: Network Participation by Type of Organization in 23 Networks and Cooperatives

N = 1302

Network	Corporate For-Profit	Private Non-Profit	Government Public Agency	Organization Category Not Assigned	Total
*OCLC	105	39	135	33	312
Federal Library Committee/FEDLINK			167		167
CLASS	62	11	19	49	141
*RLIN	34	11	13	25	83
Illinois System Affiliation	59		11		70
Metropolitan Washington Library Council	26	18	18		62
ILLINET	61			1	62
Illinois Regional Council	43		3		46
SOLINET	6	15	20	5	46
NYSILL	27	6	6		39
NELINET	21	6	8		35
Interlibrary Loan Users Council	16	7	11		34
NENON	27	3	3		33
PALINET	20	8	2		30
OHIONET	16	4	6		26
AMIGOS	18	3	2	1	24
BCR	1	8	11		20
GLIN	12	1	6		19
St. Louis Regional Network	1			15	16
CIN	1		1	13	15
METRONET	4	1	3		8
WOLF (Wayne Oakland Federated Systems Network	6	1			7
INCOLSA	5	1			6
					1302

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* There is some double counting since most special libraries belong to OCLC and RLIN through cooperatives and networks such as AMIGOS, INCOLSA, SOLINET, and CLASS.

Table 5. Preliminary Analysis: Network Services Used By Type of Organization

N = 1137

Service	*CP	*NP	*GA	Agency Type Unspecified	Total	Percent
Interlibrary Loan	392	136	257	104	889	78%
Union Lists	333	97	162	98	690	61
Cataloging	127	70	224	66	487	43
Database Procurement	122	36	150	49	357	31
Acquisitions	52	9	34	13	108	10
Electronic Mail	37	15	18	29	99	9
Equipment Procurement	27	13	13	23	76	7

* CP = Corporate For-profit
NP = Private Non-profit
GA = Govt. or other public agency

Table 6. Preliminary Analysis: Why They Say They Don't Participate. Summary Table

N = 1117

Reason	No. Responses	% of N
Lack of Demand	642	58%
Lack of Funds	421	38
Lack of Knowledge of Networks	366	33
Employer Restrictions	167	15
Like the Status-Quo	116	10
Network Restrictions	95	9
Plan to Join in Future	46	4
Other	25	2

Table 7. Task Force Analyses: SLA Chapters Reporting Survey Response Rates of 55% or Better

Chapter	1980 Chapter Memberships	% Response
Princeton-Trenton	140	90%
Rio Grande	81	82
Cleveland	182	81
Hawaii-Pacific	78	80
Sierra-Nevada	103	79
Connecticut Valley	177	73
St. Louis	106	70
San Diego	69	67
Pittsburgh	209	62
San Francisco	697	62
Rhode Island	60	57
Texas	503	56
Wisconsin	148	55
	2,553 (22% of 1980 SLA membership)	

Table 8. Task Force Analysis: SLA Chapters Reporting 50% or Better Respondent Participation in Networks and Cooperative Programs

N = 957

Chapter Name/1980 Membership (Census Region)	Total Chapter Responses	% Libraries Not In Cooperatives/ Networks	% Libraries In Cooperatives/ Networks	Total Network/ Cooperative Memberships Reported
Mid-Missouri/24 (West N. Central)	2	0%	100%	2
San Andreas/216 (Pacific)	36	11	89	59
*Illinois/689 (East N. Central)	133	17	83	10
*Alabama/59 (East S. Central)	19	21	79	4
*Upstate New York/292 (Mid-Atlantic)	64	23	77	13
*South Atlantic (Ga.)/151 (South Atlantic)	34	29	71	6
*Central Ohio/104 (East N. Central)	29	34	66	6

Table 8. (continued)

N = 957

Chapter Name/1980 Membership (Census Region)	Total Chapter Responses	% Libraries Not In Cooperatives/ Networks	% Libraries In Cooperatives/ Networks	Total Network/ Cooperative Memberships Reported
*Kentucky/51 (East S. Central)	8	39%	63%	11
St. Louis/106 (West N. Central)	30	37	63	4
*N. Carolina/158 (South Atlantic)	59	37	63	41
*Philadelphia/380 (Mid-Atlantic)	80	39	61	6
Pacific Northwest/332 (Pacific)	18	39	61	13
*Washington, D.C./932 (South Atlantic)	229	39	61	46
Hudson Valley/121 (Mid-Atlantic)	29	41	59	10

Table 8. (continued)

N = 957

Chapter Name/1980 Membership (Census Region)	Total Chapter Responses	% Libraries Not In Cooperatives/ Networks	% Libraries In Cooperatives/ Networks	Total Network/ Cooperative Memberships Reported
Rhode Island/60 (New England)	14	43%	57%	14
*Indiana/164 (East N. Central)	19	47	53	20
*Wisconsin/148 (East N. Central)	54	48	52	13
*Rocky Mountain/260 (Mountain)	82	48	52	92
Sierra Nevada/103 (Pacific)	18	50	50	20
Totals	957	34%	66%	390

* Census Region showing 50% or better special library participation in networks/cooperatives.

Table 9. Task Force Analysis:
Network/Cooperative Participation by Type of SLA Library

N = 1920

Type of Library	Total Responses	% of N	% Participate	% Don't Participate
1. Corporate, For-profit	1163	61%	44%	56%
2. Private, Non-profit	323	17	50	50
3. Government/ Public Agency	415	22	75	25
Totals	*1920	100%	*52%	*48%

* Includes 19 Alabama libraries not counted in row-column entries.

Table 10. Task Force Analysis:
Numbers of Network/Cooperative Memberships Reported by Type of SLA Library

N = 981

Type of Library/ No. Responses	Nbr. Memberships (% of Column Total)	Average Nbr. Memberships/ Library
1. Corporate, For-profit/511	855 (49%)	1.7
2. Private, Non-profit/161	313 (18)	2.0
3. Government or Public Agency/309	587 (33)	1.9
*Totals	1755 (100%)	1.9

* 19 Alabama libraries not included.

Table 11. Task Force Analysis:
Network Memberships Reported by Type of Special Library Within Census Regions

N = 1920

Census Region	*CP	*NP	*GA	Total Mbrships	Total Libraries Networked/%
South Atlantic	118	82	238	438	240/63%
East S. Central	5	3	33	**56	**38/58
East N. Central	247	77	45	369	198/57
Mid-Atlantic	137	46	30	213	141/53
Mountain	9	22	61	92	45/55
Pacific	151	33	62	246	152/46
New England	96	25	23	144	95/45
West N. Central	10	9	23	42	26/43
West S. Central	67	14	22	103	61/35
Totals	840	311	**537	**1692	**1920/51%

* CP = Corporate For-profit
NP = Private Non-profit
GA = Govt. or other public agency
** 15 Alabama libraries included in totals only

Table 12. Task Force Analysis:
Regional Summary 50% or More of SLA Respondents in Networks/Cooperatives

N = 1143

Census Regions	% Spec. Libs. Networked	% Spec. Libs. Not Networked	# of SLA Libraries
South Atlantic[1] Md., Del., Va., D.C., W.Va., N.C., S.C., Ga., Fla.	63%	37%	379
East South Central Miss., Tenn., Ky., Ala.	58	42	66
East North Central Wisc., Ill., Mich., Ind., Ohio	57	43	350
Mountain Mont., Idaho, Wyoming, Nev., Utah, Colo., Ariz., N.M.	55	45	82
Mid-Atlantic N.J., Pa., N.Y.	53	47	266
Totals	58%	42%	1143

[1] Maryland data received too late for inclusion

Table 13. Task Force Analysis: Regional Summary by Library Type and in Rank Order: 50% or More of SLA Libraries in Networks/Cooperatives

N = 1143

Census Region (no. Libraries/ no. Network Mbrshps)	YES			% of Total Region	NO			% of Total in Region
	*CP	*NP	*GA		*CP	*NP	*GA	
South Atlantic (379/438)	64	35	141	63%	60	48	31	37%
**East S. Central (66/56)	2	2	19	58	11	7	6	42
East N. Central (350/369)	131	39	28	57	118	23	11	43
Mountain (82/92)	6	11	28	55	25	8	4	45
Mid-Atlantic (266/213)	97	28	16	53	106	16	3	47
Totals	300	115	232	58%	320	102	55	42%

* CP = Corporate For-profit
NP = Private Non-profit
GA = Govt. or other public agency

** Totals include 19 Alabama libraries not reported by library type

Table 14. Task Force Analysis:
Regional Summary - Less Than 50% of SLA Libraries in Networks/Cooperatives

N = 777

Census Region	# of SLA Libraries	% Spec. Libs. Networked	% Spec. Libs. Not Networked
Pacific Hawaii, Alaska, Wash., Oregon, Calif.	331	46%	54%
New England Ma., N.H., Vt., Mass., Ct., R.I.	210	45	55
West North Central N.D., S.D., Minn., Neb.. Iowa, Kansas, Missouri	61	43	57
West South Central La., Ark., Okla., Texas	175	35	65
Totals	777	43%	57%

Table 15. Task Force Analysis:
Regional Summary by Library Type - Less Than 50% of SLA Respondents in Networks/Formal Cooperatives

N = 777

Census Region (No. Libraries/No. Network Mbrshps)	YES				NO			
	*CP	*NP	*GA	% of Total in Region	*CP	*NP	*GA	% of Total in Region
Pacific (331/246)	96	21	35	46%	122	25	32	54%
New England (210/144)	66	14	15	45	89	18	8	55
West N. Central (61/42)	9	3	14	43	27	4	4	57
West S. Central (175/103)	40	8	13	35	94	13	7	65
Totals	211	46	77	43% (av)	332	60	51	57% (av)

Table 16. Task Force Analysis:
Top Four Network Services Most Frequently Reported by SLA Respondents

Service	Users Reported	% of Total of All Services Reported
Interlibrary lending and borrowing	792	34%
Union lists	552	24
Cataloging	418	18
Database procurements	303	13
Other	286	12

Table 17. Task Force Analysis: Network/Cooperative/Utility Memberships Reported

N = 1755

Name (Location)	*CP	*NP	*GA	Totals	% of N
AMIGOS (Tx.)	15	1	1	17	1
BCR (Co.)	2	8	14	24	1
CLASS (Ca.)	82	16	24	122	7
FLC/FEDLINK (Wash., D.C.)	2	4	84	90	5
GLIN (Ga.)	13	1	28	42	2
ILLINET (Ill.)	52	16	9	77	4
Illinois Regional Council (Ill.)	43	14	3	60	3
Illinois System Affiliation (Ill.)	37	8	9	54	3
InCoLSA (Ind.)	7	1		8	.5
Interlibrary Users Assoc. (Wash., D.C.)	20	2	11	33	2
METRONET (Minn.)	5	1	3	9	.5
Met. Wash. Lib. Cncl. (Wash., D.C.)	27	15	42	84	5
NELINET (Mass.)	20	5	9	34	2
NENON (Mass.)	28	3	2	33	2
NYSILL (N.Y.)	28	6	5	39	2
OCLC (Ohio)	111	47	139	297	17
OHIONET (Ohio)	6	4	6	16	1
PALINET (Pa.)	19	10	2	31	2
RLG/RLIN (Ca.)	48	15	17	80	5
SOLINET (Ga.)	7	7	35	49	3
WOLF (Wayne-Oakland Federal System) (Ca.)	4			4	.5
Other	279	129	144	552	32
Totals	855	313	587	1755	100%

* CP = Corporate For-profit
NP = Private Non-profit
GA = Govt. or other public agency

Table 18. Task Force Analysis:
Top Five Networks and Utilities Used by SLA Respondents

OCLC (9 regions) = 297 SLA users

CLASS (3 regions) = 122 SLA users

FEDLINK (6 regions) = 90 SLA users

RLG/RLIN (7 regions) = 80 SLA users

SOLINET (3 regions) = 49 SLA users

Table 19. Task Force Analysis: Top Ten Nonparticipating SLA Libraries by Type

N = 858

Type	Number	Percent
Business/Finance	85	10%
Engineering	70	8
Newspaper	66	7
Chemistry	50	6
Petroleum/Energy	48	6
Social Science	47	5
Insurance	43	5
Museum, Arts, Humanities	31	4
Transportation	27	3
Information Technology	25	3
Public Utilities	25	3
Total	517	60%
All Other	341	40%

Table 20. Task Force Analysis: Why They Don't Participate. Top Five Reasons Reported

N = 1489

Reason	*CP	*NP	*GA	Totals	Percentages of N
No demand	375	92	52	519	35%
No knowledge of networks	245	45	23	313	21
No funds	191	74	47	312	21
Parent organization's requirements	85	19	19	123	8
Networks' requirements	72	6	5	83	6
Totals	968	236	146	1350	91%

* CP = Corporate For-profit
NP = Private Non-profit
GA = Govt. or public agency

Table 21. Networks and Bibliographic Utilities Surveyed by the Task Force

Name	Responded?
AMIGOS Bibliographic Council Dallas, Texas	Yes
Bibliographical Center for Research (BCR) Denver, Colorado	Yes
California Library Authority for Systems and Services (CLASS) San Jose, California	Yes
Capital Consortium Network (CAPCON) Consortium of Universities of the Washington, D.C., Metropolitan Area Washington, D.C.	Yes
Federal Library and Information Network (FEDLINK) Washington, D.C.	Yes
Illinois Library and Information Network (ILLINET) Springfield, Illinois	Yes
Indiana Cooperative Library Services Authority (INCOLSA) Indianapolis, Indiana	Yes
Michigan Library Consortium (MLC) Lansing, Michigan	Yes
Midwest Region Library Network (MIDLNET) Green Bay, Wisconsin	No
Minnesota Interlibrary Telecommunications Exchange (MINITEX) Minneapolis, Minnesota	No
New England Library Information Network (NELINET) Newton, Massachusetts	No
OCLC, Inc. Dublin, Ohio	Yes
OHIONET Columbus, Ohio	Yes

Table 21 (continued)

Name	Responded?
PALINET and Union Library Catalogue of Pennsylvania Philadelphia, Pennsylvania	Yes
Pittsburgh Regional Library Center (PRLC) Pittsburgh, Pennsylvania	Yes
The Research Libraries Group, Inc. (RLG) Stanford, California	Yes
Southeastern Library Network, Inc. (SOLINET) Atlanta, Georgia	Yes
SUNY/OCLC Albany, New York	Yes
Washington Library Network (WLN) Olympia, Washington	Yes
Wisconsin Library Consortium (WLC) Madison, Wisconsin	No

Table 22. Special Library Participation as Reported by the Networks/Cooperatives

Network/Coop	Total Mbrs.	Spec. Library Mbrs. by Category			Grand Total Spec. Libs/%	Total Non-Mbrs.	Total Non-Mbr. Spec. Libs/%
		Corp.	NP	GA			
AMIGOS	190	(16)	(0)	(1)	17/9%	2	0
BCR	150	(5)	(16)	(1)	22/15%	150	20/13%
CAPCON	32	(2)	(5)	(0)	7/22%	0	0
CLASS	450	(193)	(6)	(4)	203/45%	*	*
FEDLINK	400	(0)	(0)	(340)	340/85%	0	0
ILLINET	1135	*	*	*	440/39%	*	*
InCoLSA	134	(7)	(5)	(2)	14/10%	76	13/17%
Mich. Lib. Consort.	95	(6)	(2)	(0)	8/8%	0	0
OHIONET	154	(20)	(4)	(2)	26/17%	0	0
PALINET	175	(17)	(10)		27/15%	0	0
PRLC	71	(8)			8/11%	35	35/100%
SOLINET	169	(3)	(10)	(8)	21/12%	0	0
SUNY/OCLC	199	(15)	(11)	(5)	31/16%	0	0
TOTALS	3354	(292)	(69)	(363)	1164/35%	263	68/26%

* Figures not available.

Table 23. Special Library Participation as Reported by the Bibliographic Utilities

		Spec. Library Mbrs. by Category					
Utility	Total Mbrs.	Corp.	NP	GA	Grand Total Spec. Libs/%	Total Non-Mbrs.	Total Non-Mbr. Spec. Libs/%
OCLC	2565	(133)	(103)	(294)	530/21%	0	0
RLG/RLIN	36	(0)	(7)	(0)	7/19%	74	21/28%
WLN	65	(2)	(0)	(0)	2/3%	350	0
TOTALS	2666	(135)	(103)	(294)	538/20%	424	21/5%

Table 24. Special Library Memberships in 7 Organizations as Reported by SLA Respondents and Network/Cooperative Directors

Names	CP*	NP*	GA*	Total	% Difference
FEDLINK					
SLA	2	4	84	90	
Network	0	0	340	340	74
ILLINET					
SLA	52	16	9	77	
Network	NA	NA	NA	440	82
InCoLSA					
SLA	7	1	0	8	
Network	7	5	2	14	43
OCLC					
SLA	111	47	139	297	
Utility	133	103	295	530	44
OHIONET					
SLA	6	4	6	16	
Network	20	4	2	26	38
PALINET					
SLA	19	10	2	31	13
Network	17	10	0	27	
SOLINET					
SLA	7	7	35	49	57**
Network	3	10	8	21	

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* CP = Corporate For-profit
NP = Non-profit
GA = Government or other public agency

** SOLINET counts only one special library per agency or institution as a member regardless of the number of agency/institution libraries using SOLINET services.

Table 25. Contributions of Special Libraries to Networks and Cooperatives as Reported by the Network Directors

Name	Unique Holdings Added to Database	Interlibrary Lending	Active in Network Governance	Advanced Thinkers	Contribute to Revenue and Growth	Stimulate Advanced Training
AMIGOS	X	X	X	X		
BCR	X		X	X		
CAPCON			X		X	
FEDLINK	X		X	X		X
ILLINET	X	X		X	X	X
InCoLSA	X				X	X
OHIONET	X	X	X			
SOLINET	X	X	X			
SUNY/OCLC	X	X	X	X	X	
WLN	X	X				

Table 26. Network Services Heavily Used by Special Libraries as Reported by Network Directors

Service	Score
Cataloging	35
Training/continuing education	33
Interlibrary lending and borrowing	32
Union lists	19
Database procurement	15
Equipment procurement	10
Acquisitions	6
Electronic mail	6
Online searching	3
COM catalogs	2

(Highest possible score = 48)

Table 27. Top Six Network Services Ranked by SLA Respondents and Network Directors

Service	SLA Rank	Network Rank
Cataloging	3	1
Interlibrary lending and borrowing	1	3
Union lists	2	4
Training/continuing education	*	2
Database procurement	4	5
Acquisitions	5	7

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* Not tabulated; less than 5% of the SLA respondents considered it important.

Table 28. Barriers to Special Library Participation as Reported by the Networks/Utilities

Network/Utility	Legal/Admin. Barriers to Spec. Libs.?		Spec. Libs. Participate in Governance?	
	Yes	No	Yes	No
AMIGOS		X	X	
BCR		X	X	
CAPCON		X		X
CLASS		X	X[1]	X[1]
FEDLINK		X	X	
ILLINET		X		X[2]
InCoLSA		X	X	
Mich. Lib. Cons.		X	X	
OCLC		X	X	
OHIONET		X	X[3]	
PALINET		X	X	
PRLC		X	X	
RLG/RLIN	X[4]		X	
SOLINET	X[5]		X	
SUNY	X[5]		X	
WLN		X	X	

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[1] Cannot vote on Board.

[2] Network by law a public library network.

[3] To protect IRS status, for-profits cannot vote or sit on Board.

[4] "RLG members must operate research libraries and be described by 501(C)(3) or 509(a)(1) and (2) of the IRS Code. If these conditions cannot be met, they may have access to RLIN services as members of CLASS, not RLG."

[5] IRS specified ceiling of for-profit members.

Chapter 3

NCLIS AND WHCLIS PERCEPTIONS OF SPECIAL LIBRARIES

CHAPTER OVERVIEW

In order to evaluate NCLIS's perceptions regarding the characteristics, responsibilities and roles of special libraries as they relate to broad based library programs, the Task Force examined a total of nine documents generated by or for NCLIS or by the White House Conference on Library and Information Services (WHCLIS). The first of these was an especially useful "Paper of Amplification" prepared for NCLIS in 1974 by Edward G. Strable. Entitled, "The Relationship and Involvement of the Special Library with the National Program," we have quoted and analyzed substantial portions of it throughout the remaining Chapters of this Report. Therefore, it will not be discussed in this Chapter. Instead, we will confine our review to five of the remaining eight NCLIS/WHCLIS documents which were relevant to our work. These include:

A. Feingold, Karen E. Library and Information Services for Improving Organizations and the Professions. A Discussion Guide prepared for the White House Conference on Library and Information Services. Washington, National Commission on Libraries and Information Science, 1979, 29 p. (Hereinafter referred to as WHCLIS/Discussion).

B. National Commission on Libraries and Information Science. Toward a National Program for Library and Information Services: Goals for Action. Washington, Govt. Print. Off., 1975, 106 p. (Hereinafter referred to as NCLIS/Goals).

C. National Commission on Libraries and Information Science. Public Sector/Private Sector Task Force. Public Sector/Private Sector Interaction in Providing Information Services. Washington, Govt. Print. Off., 1982, 88 p. (Hereinafter referred to as NCLIS/Public-Private).

D. Trezza, Alphonse F. Toward a Federal Library and Information Services Network: A Proposal. A report of the Intergovernmental Library Cooperation Project, a joint undertaking of the National Commission on Libraries and Information Science and the Library of Congress. Washington, Library of Congress, 1982, 130 p. (Hereinafter referred to as ILCP/Trezza).

E. White House Conference on Library and Information Services, 1979. Final Report Summary. Washington, National Commission on Libraries and Information Science, 1980, 101 p. (Hereinafter referred to as WHCLIS/Summary).

In general, discussions of special libraries in NCLIS/WHCLIS literature cluster around six issues, namely, the constituencies special libraries either do or ought to serve; incentives as they related to multitype library cooperation; funding issues such as fee vs. free, public vs. private, and traditional vs. innovative; the potential role of the private sector in national cooperative programs; multitype library cooperative and network development issues; and standards, especially missing standards required for furthering interlibrary cooperation.

CONSTITUENCIES ISSUES

Both NCLIS and WHCLIS constituencies concerns are directed at two expansion potentials. First, expanding the user-populations special libraries presently serve to include either "the general public" or the "work-related needs" of a larger number of users than represented by special libraries' presently "limited clientele"; second, expanding the special library role of public and academic libraries in order to "support the unemployed engineer" or provide continuing education for "local small business." Thus:

- "Special libraries . . . serve only a limited clientele." (NCLIS/Goals, p. 24)
- "Many special libraries . . . have collections of material . . . which are the most complete and the best organized of any resources . . . in the country . . . . The Commission believes that . . . many citizens with complex, work-related . . . problems are not now being served by such specialized information services . . . devising a mechanism by which . . . holdings and services of special libraries can be made available to more people . . . would be extremely beneficial . . . ." (NCLIS/Goals, p. 15)
- "The . . . resources of the Federal libraries, nongovernmental special libraries, research libraries and information centers must become . . . part of the nationwide network. Such integration will require that these institutions adopt a more open policy toward serving the general public . . . and a willingness to form or join . . . networks." (NCLIS/Goals, p. 37)

- "Businessmen and professionals have . . . educational needs . . . . Many . . . might argue that private organizations . . . should bear the costs of providing expensive educational technology . . . to interested employees. But perhaps the (public) library should help support the unemployed engineer who needs to learn about new technology . . . (or) . . . small businesses that cannot afford large . . . education programs." (WHCLIS/Discussion, p. 1)
- "The people of the United States have the right . . . to information produced or collected by the Federal Government at public expense except for limitations imposed by . . . national security, privacy and proprietary rights." (ILCP/Trezza, p. 123)

DISCUSSION AND COMMENT

There is evidence from the Task Force's 1981 SLA Survey that 50% of the libraries the Association's membership represents are active in cooperative programs at all levels; there is equal evidence that 50% decline to get involved in such programs. However, there was zero evidence that, as a matter of routine, either networked or non-networked special libraries refuse legitimate requests from the public for work or study-related information, provided the special library has the resources to help and provided such requests do not intrude on either the information or the privacy needs of the special library's sponsor. Indeed, the Task Force holds that the "rich and specialized resources" of many and various special libraries have long since become integral parts of the nation's networks. It must be remembered that special libraries are not a species of public libraries. No useful purpose, national or otherwise, would be served were they to assume some measure of the public library's traditional role or responsibility

This is not to say that the roles and responsbilities of the public, academic, and special library are not complementary. Quite the contrary, each can and often does reinforce the others. While NCLIS observed that outside "citizens with . . . work-related information problems are not being served" by special libraries, that observation was undocumented; perhaps because it is undocumentable. The Task Force agrees that there are people with work-related problems who lack special library access; however, it does not follow that such people would be helped by access to the universe of special library resources as presently structured through out government and industry. The fact is that today's special libraries are stocked and configured to enable those already skilled in a particular art or science to add to their previously acquired knowledge additional, usually advanced information and data. This means that, as a rule, one finds precious little elementary work-related information in a special library. It also means that while the unemployed engineer might look to the engineering librarian to search Science Citation Index for information about who in what organizations had cited the engineer's work, hard data about the employment economics in a specific section of the country would rarely be available from that same engineering library. The Task Force believes that it is in such areas as this that the interdependencies between public, academic and special libraries can most profitably be strengthened through multitype library networks. Networks can be particularly useful for creating comprehensive, sophisticated information referral systems. We address the need for "cordial" multitype library legislation in Chapter 2 of this Report.

In summary, we believe that NCLIS's 1975 assessment that the resources of special libraries were restricted to only "limited" clientele is no longer accurate today. We amassed considerable evidence to the contrary. We note also that over half of all federal government libraries are special libraries, the majority of which either by law or by regulation are open to the public. Many of these libraries are obliged to serve specific citizen-publics and most have been active participants in OCLC's online shared cataloging program since the mid 1970's. Today, some are net interlibrary lenders to many of OCLC's other member libraries. While we acknowledge that some special libraries appear to lack either the incentive or the motivation to cooperate, it does not follow that these special libraries constitute the bulk of the community or that the resources they house are those most needed by outside users.

The Task Force agrees with the ILCP/Trezza statement (p. 60) that "most current (information) access mechanisms favor . . . organizational users"; however, we would add that multitype interactive library networking of the sort provided by OCLC represents the antithesis of the exclusive information access mechanism. Furthermore, we are not convinced that increased access to special libraries by greater numbers of citizens will necessarily generate increased solutions to their work-related information problems. The collections and services of almost all special libraries are designed to serve the expert or the advanced practitioner. They are of little use to the beginner, the uneducated, or the untrained. We believe that today, the specialized information needs of all citizens are best met by strengthening the organizational interdependencies among libraries provided by multitype library networking. To this end, we support WHCLIS Resolutions A-5, B-6, C-12 and C-13 on Interlibrary Cooperation. Resolution C-13 neatly summarizes the intent of the others:

> "Congress and state legislatures . . . (should) provide incentives . . . for cooperation" (WHCLIS/Summary, p. 69)

We address this topic more fully in Chapter 2 of this Report.

Turning to the matter of library support for continuing education, a successful pilot program involving public and academic-special libraries was undertaken in 1980 and completed in late 1982. The need for the program could never have been articulated either by a library or by the program's beneficiaries. In the course of a 4-year review of funding applications for energy-related inventions, the Chief of the Office of Energy-Related Inventions at the National Bureau of Standards realized that many individual inventors and small businesses lack access to the kinds of scientific and technical data needed to assure high quality applications. NBS identified three patent depository libraries (two public, one academic-special) which are heavily used by inventors and small businesses. From 1980 to 1982, grants in the amount of $75,000 per library per year were awarded in order to strengthen each library's printed energy resources, provide online searching capability and institute workshops to acquaint inventors with what was available and how to use it. While it is too early to determine now (1982) what kinds of improvements in energy patent applications will result over the long haul, the project's acceptance by inventors has persuaded several federal agencies to invest in the program in order to assure that it is continued. The Task Force considers this to be a good example of beneficial cooperation among several types of libraries to produce a useful and used continuing education program. Note however that the requirement for the program was articulated by a third party who was searching for ways to shore up deficiencies neither the inventor nor the library knew existed.

Most of the NCLIS literature stresses the need for special libraries to expand the populations they serve and to interact with other types of libraries. On the other hand, the ILCP/Trezza Report notes that:

> "interactions between and among federal libraries are generally not as frequent or as effective as those between federal and nonfederal libraries." (ILCP/Trezza, p. x)
>
> "There appear to be no legal or regulatory barriers to prevent cooperation between federal and nonfederal libraries . . . . In the main, federal libraries are special libraries with important collections . . . . Direct access by the public to federal libraries is provided through on-site-use." (ILCP/Trezza, p. 5)

Thus it would appear that special libraries in the federal government already have or are in the process of satisfying NCLIS's objective for more access. Not so, according to ILCP/Trezza:

> "most current (library) access mechanisms favor institutional and organizational users as well as the educated and the wealthy." (ILCP/Trezza, p. 60)
>
> "The enormous federal investment in library and information services . . . now yield only a small part of their potential value to the public . . . federal librarians should participate in educational campaigns . . . to increase public awareness . . . what is needed . . . is a federal library and information services network that will . . . interface with a national information and referral network designed to serve . . . needs at the local, state, regional, and national levels." (ILCP/Trezza, pp. 10-11)

As we stated previously, the Task Force agrees with the ILCP/ Trezza assessment that today, *most* library access mechanisms favor organizational users. We agree also that special libraries favor the well-informed; an additional caveat may be appropriate, namely, that evolving library access mechanisms favor the computer-literate. In the short run, continued on-site public access to federal libraries offers partial correction for existing access-mechanism biases. In the long run, continuing multitype library cooperation and networking could reduce this bias substantially.

Dr. Henry Petroski had this to say about the differences between public and special libraries:

> "The scientists and engineers . . . demand more and more specialized literature: esoteric monographs and obscure journals, . . . and proceedings of international meetings that involve no more than 50 specialists . . . users are so specialized that (my) laboratory's library system is actually composed of 10 branch libraries . . . serving fewer than 2000 scientists and engineers."
>
> "most citizens do not need a research library. . . . They use . . . public libraries, where fact and fiction, science and poetry are never shelved very far apart. Dewey's continuum is housed under one roof. . . . There are no monographs . . . to conceal and separate one aspect of life from another. . . . When the time comes for public discussion of broad, complex issues . . . the differences between public and research libraries exacerbate misunderstandings and complicate debate. Whereas the specialists who after all will be called upon to effect technological fixes are well read in the narrow, technical aspects of the problem, the public is often more familiar with broader aspects of the issue. Reconciling the different points of view - referencing fairly the two libraries - is one of the most difficult tasks of our time." [1]

The Task Force believes that strengthening and supporting the country's multitype library networks offers the most effective and comprehensive method for "referencing fairly the two libraries."

INCENTIVES ISSUES

Both NCLIS and WHCLIS addressed incentives issues as they relate to special libraries on two levels, namely, (a) providing dollar inventives to institutions with collections of one-of-a-kind resources and (b) devising funding formulae to provide special libraries incentives to join regional and national systems. Thus:

- "Should not-for-profit organizations that often claim missions in support of the public good receive special subsidies?" (WHCLIS Discussion/p. 1)
- "there are many institutions in the country . . . whose collections include one-of-a-kind resources of . . . potential benefit for the entire population . . . incremental funding (could) . . . enable them to serve more people than their primary clientele . . . the Federal Government (could) . . . compensate such institutions for performing added services." (NCLIS/Goals, pp. 53-54)
- "independent libraries . . . supported by private foundations . . . (which are) . . . fully open to the public should be . . . (exempted) . . . from Federal income taxes." (WHCLIS/Summary, p. 58)

Discussion and Comment

The Task Force does not believe that stimulating private sector network participation is as amenable to a funding-fix as the NCLIS/WHCLIS proposals suggest. As presently constituted, the financial stability of many networks is directly dependent on their membership compositions. The well-being of one derives from the other, and the delicate balance could be jeopardized by the infusion of significant dollars targeted to beef up for-profit library membership. In addition, there are unresolved questions of how to avoid or at least regulate "double dipping," by libraries which are members of several networks or members of a network and a bibliographic utility. The central issue however remains the preservation of the tax-exempt IRS status of nonprofit networks--a status difficult to maintain were libraries of for-profit institutions admitted to network membership without restriction and paid a bonus for doing so. For this reason, the Task Force cautions against radical, abrupt change unless it is preceded by careful planning and study.

FUNDING ISSUES

Devising funding mechanisms to encourage greater access by all citizens to the country's library resources was a major topic of discussion at the 1979 White House Conference on Libraries and Information Service. Of particular interest was the fee vs. free information access issue:

- "many special academic library units . . . have initiated fee-for-service programs in order to meet outside demand . . . special libraries are not constrained by the open-access, information-as-a-public-good tradition . . . special libraries are increasingly operating as cost recovery and/or profit centers . . . . (WHCLIS/Discussion, p. 10)
- "The White House Conference . . . advocates the formation of a National Information Policy to ensure the right of access without charge or fee . . . to all . . . publicly supported libraries for all persons." (WHCLIS/Summary Resolution A-3, p. 42)

In addition, WHCLIS participants were asked to consider how broad-based library and information services should be funded, that is, should only private or only public dollars be used or was a mix of the two desirable:

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- "Examples of the Government's work with the private sector . . . include its software development contracts with Lockheed Corporation for the NASA RECON information retrieval system and with System Development Corporation for the MEDLINE information retrieval system. This software is now commercially available via their DIALOG and ORBIT retrieval networks respectively." (WHCLIS/Discussion, p. 22)

- "the American Chemical Society information services have long been front-runners in the use of . . . new product innovations . . . the National Science Foundation has provided . . . funds for research and development . . . at Chemical Abstracts on the basis that the organization is nonprofit and provides a public service. There are private sector information suppliers who would argue that the Government is favoring one type of information producer over another. . . . However, many publishing and information-dissemination innovations have resulted from Government support of organizations like Chemical Abstracts." (WHCLIS/Discussion, p. 19)

Finally, both NCLIS and WHCLIS perceived a need for close and continuing cooperation between the public and private sectors on funding issues and for changes in "traditional funding patterns" as well:

- "What should be the roles of the Federal government and the private sector in providing or funding information services that serve organizations and professions? Might the public and private sectors cooperate to their advantage in provision of some services such as production of data bases or publication of scientific research?" (WHCLIS/Discussion, p. 1)

- ". . . Federal legislation (should) be enacted to guarantee the right of equal access to all publicly-held information for all citizens. . . . (WHCLIS/Summary Resolution A-5, p. 44)

- "Although information and knowledge respect no geographic boundaries, . . . the provisions of information service in many localities is still limited by the taxes supporting a particular jurisdiction. Traditional funding patterns will need to be changed to make them equally supportive of local and nationwide objectives." (NCLIS/Goals, p. 36)

A reservation concerning the wisdom of public funding of information enterprizes was expressed by members of NCLIS's Public Sector/Private Sector Task Force:

- "Since many . . . previous studies and reports have recommended 'cooperation between the public and private sectors,' it is especially important to note that this has become an issue of controversy in the Task Force . . . (because) information taken broadly should be governed by the principles embodied in the First Amendment to the Constitution. . . . (and) Cooperation with government carries with it . . . yielding the independence of action so vital to an effective free press." (NCLIS/Public-Private, pp. 33,34)

DISCUSSION AND COMMENT

The Task Force believes that the NCLIS Public-Private Sector Task Force positions on public-sector private-sector funding and cooperation represent significant departures from the usual points of view. The reality is that, using combinations of public and private dollars, library networks and cooperatives produce information products and services which are valued by diverse organizations in both the public and the private sectors. Such efforts have been successful and libraries and their patrons have profited because of them. For this reason, the Task Force believes that there is a clear and demonstrable need for continuing close cooperation between public and private institutions and for continuing cooperative funding of mutually beneficial information efforts. In addition, because of the danger of information censorship or control by elements from either sector, there is also need for formal, structured oversight of broad-based programs established to create, edit, or disseminate large volumes of information.

However desirable it would seem to separate and compartmentalize public and private information processes, the present evolution of modern information technologies is making such distinctions all but impossible. Indeed, information-generation and information-transfer mechanisms become less and less distinguishable one from the other. In such an environment, sharp demarcations between public and private information agents can be different to perceive or determine.

The Task Force agrees with NCLIS that "traditional funding patterns will need to be changed" in order to accommodate broad-based information programs. We would caution again, however, against quick fixes to remedy operational difficulties.

As to the question of fee vs. free - the Task Force does not believe that information is ever free - certainly not to the taxpayer who paid for its generation in the first place. The question then becomes, when the creation or acquisition of information is funded by tax dollars, should subsequent accesses to that information be retaxable? We believe the answer is yes. Every time a book is lent, every time a reference librarian assists a patron somebody pays. The Task Force believes that a more valid question concerning fee vs. free as the issue relates to special libraries clusters around two considerations, first, the extent to which computerized information services tend to inhibit open, self-help (not free) access to information and second, the extent to which special libraries ought to provide "public" users the same levels and kinds of service they provide their sponsor's users. The first of these considerations touches all aspects of the information transfer problem and relates to questions of computer literacy as well. We examine it here only as it relates to special libraries. It is certainly true that computerized information retrieval services are most often offered by special libraries on a cost-reimbursable basis and are frequently available only to staff of the library's parent agency. In the near term, these circumstances are not likely to change for two reasons. First, the common perception of electronically retrieved information is that it is an uncommonly expensive product (which it is not) and that it involves somehow "different" procedures altogether from those associated with "traditional" library reference and bibliographic work (which it does not). Indeed, the term "information services" is used to distinguish automated reference service from manual service, and to establish a substantial distance between it and the processes associated with "traditional" methods of information retrieval. Second, it is the rare special library which is staffed to provide individual, in-depth reference service of any variety to persons outside its parent agency. What can or should NCLIS or SLA do about these circumstances? In our opinion, nothing. We are dealing with a relatively new, moderately expensive technology which, over time, can be expected to become more user friendly, more widely available and probably less costly. Just as the chains on library books disappeared after the advent of the printing press, once online services encourage user access and their costs tend to be regarded more realistically, the restrictions libraries presently place on automated reference services will tend to dissipate, because they will have ceased to serve a useful purpose either to the library or to its management.

With regard to the issue of the extended user base for special libraries, it bears repeating that many special libraries have been open to the public for years. In addition, a number of "closed" special libraries of profit-making organizations will grant permission for outside use whenever a serious need arises. Are the levels and kinds of services for both groups of users identical? The answer is no, nor should they be. The collection of a special library is useful to a public patron only if the patron's interest relates to the aspects of a topic reflected in the special library's resources; the services most useful to such a patron are usually circulation, shelf maintenance and interlibrary loan. By contrast, the totality of a special library's collections and services are focused to provide the broadest possible information support to the parent organization's producers. In one sense, the special library becomes an extension of those producers, shifting and changing as necessary to accommodate new growth or to slough off information practices and collections no longer needed. When the relationship between the special library and its sponsor is a healthy one, it is the organization's producers who have the major say in determining the nature and content of the library's collections and the character of its retrieval services as well. The public may profit from what it finds in a special library. However, the public does not determine what that library contains or what it offers, not even when the special library is a part of a publicly-supported organization.

ROLE OF PRIVATE SECTOR LIBRARIES ISSUE

In 1975, NCLIS advocated that the private sector's library and information "resources and services" be incorporated into "the country's functional information structure."

- "Special libraries and information centers in the private sector . . . have important collections of material and the capability of providing quick, up-to-date analytical service for their own organizations . . . it seems essential that they be made an integral part of any National Program." (NCLIS/Goals, p. 46)
- "The private sector should recognize its own special libraries and information centers as windows on the nation's information resources . . . it is hoped that the leaders of business and industry . . . will encourage shared resources . . . as a reasonable response to a national need." (NCLIS/Goals, pp. 64-66)

DISCUSSION AND COMMENT

It is improbable that any sector's library and information resources and services will be incorporated into the national information structure envisioned by NCLIS in 1975. It is a certainty, however, that the resources of many private sector special libraries will continue to be disclosed through the nation's networks and the bibliographic utilities. The rate of disclosure will be a function of diverse circumstances. For example, future networking incentives might include more cordial networking legislation, or modifications of the IRS code to allow networks to accommodate a higher proportion of private sector customers. The ability and willingness of the networks to accept records of materials not configured in the MARC format could also facilitate private sector involvement. The Task Force believes that in the near term, regional and national registration of the unique holdings of special libraries via the networks and bibliographic utilities is the most convenient, cost-effective way to increase knowledge of and therefore access to those resources. There are, however, both attitudinal and real barriers which inhibit such registration. We discuss these barriers in Chapters 2 and 3 of this Report.

COOPERATIVES AND NETWORK DEVELOPMENT ISSUES

Both WHCLIS and NCLIS consider the nurturing of multitype library networks as a fruitful way to broaden public availability of special collections:

- "Some of today's statewide networks include only one type of library . . . others . . . involve all types of libraries. . . . Their administrative structures vary, as do their services and membership. . . . Strong statewide networks require dependable and sustained funding, . . . a willingness on the part of the members to yield some local autonomy, . . . and provision for growth and change. The impediments to success are preoccupation with questions of control and organization, and impermanent funding mechanisms." (NCLIS/Goals, p. 35)
- "One possible solution to helping reduce economic pressures on small business libraries is the encouragement of network building for resource sharing purposes. . . . Through the use of incentives, . . . the Government can help make available to

the public special collections that otherwise might be inaccessible . . . . (WCLIS/Discussion, p. 13)

- "a comprehensive approach (must) be taken to the planning and development of multitype library and information networks including both profit and not-for-profit libraries from the public and private sector (sic) . . . control of such networks (should) remain at the State or regional level." (WHCLIS/ Summary Resolution C-2, p. 64).

On the other hand, the Intergovernmental Library Cooperation Project Report recommends that all federal libraries, including federal special libraries, become members of a "full service, multitype federal library network." (ILCP/Trezza, p. 61).

DISCUSSION AND COMMENT

In 1978, the special libraries of government agencies comprised 64% of the total of 1549 federal libraries. Large numbers of these libraries were then members of multitype networks and bibliographic utilities throughout the country. While it can be argued that aggregated federal libraries themselves constitute a multitype library community, it is difficult to see how, at this late date, the creation of a full service library network composed of nothing but federal libraries would "serve more effectively government and the people of the nation" or how the government could justify creation of network systems, products and services identical to those which can be purchased from nonfederal sources. It is clear that federal libraries can satisfy best a number of local and specialized needs by developing a more comprehensive federal database and better networking capabilities than they have today. It is equally clear, however, that no useful purpose would be served were the federal library community or its broker-network, FEDLINK, to engage in wholesale competition with either the state or multistate library networks or the national bibliographic utilities. Given agressive leadership and a modicum of imagination, FEDLINK can improve and expand the array of products and services it presently offered its members. However, it must not do so at the expense of the fruitful outside cooperative and network arrangements already established by federal libraries.

The Task Force believes that increasing involvement in multitype networks of all special libraries, including federal special libraries is both desirable and possible. In Chapters 2 and 3 of this Report we have considered certain barriers to such and in Chapter 4 we have discussed some possible side effects of the emerging microcomputer technology on the present structure of the networks and utilities. Finally, in the Strategic Recommendations Section of this Report we have looked at a potential anti-trust problem as it relates to for-profit sector library networking and have offered a suggestion regarding its possible resolution.

STANDARDS ISSUES

Both NCLIS and WHCLIS have recognized the need for developing, establishing and adhering to standards in order to assure efficient, cost-effective sharing and interchange of information of data:

- "Be it . . . resolved that the Federal Government direct all federally supported libraries and information services . . . to support the development . . . and adoption of . . . standards for publishing . . . organizing, storing and transmitting information . . . . Be it further resolved that the private sector be encouraged . . . to support the development of such standards." (WHCLIS/Summary, Resolution C-1, p. 63)
- "an essential function . . . for implementing the nationwide network, will be that of encouraging . . . the development and adoption of common standards and . . . practices . . . establishing standards . . . is the principal method for achieving economies of scale and reducing duplication among libraries. . . . (NCLIS/Goals, p. 50)

In addition, without specifying what kinds of standards, the NCLIS Public Sector/Private Sector Task Force recommended that the private sector be involved: "in the process of formulating Federal standards relating to information activities." (NCLIS/Public-Private, p. 64)

DISCUSSION AND COMMENT

The Task Force agrees that common standards set and adhered to are absolutely essential to effective networking. Furthermore, the accepted folklore that the indexes and catalogs of special libraries routinely stray from accepted national bibliographic practice is not supported by our findings. Our Surveys uncovered little evidence of pervasive nonstandardization. Of the total of 1117 non-networked respondents to our SLA Survey, only 15, or 1%, reported that they have not joined a network because of "strict data format requirements" imposed on network members. In Chapter 4 of this Report we consider several other aspects of standardization as they relate both to the emerging microcomputer technology and to future configurations of library networks.

References

[1] Petroski, Henry. "of Two Libraries." Technology Review, vol. 83, no. 3, January, 1981, p. 12.

Chapter 4

NETWORKING - A REVIEW OF SELECTED LEGISLATION, REGULATIONS, AND RELATED ISSUES

CHAPTER OVERVIEW

While library literature abounds with descriptions and definitions of networks and cooperatives, little has been published on how statutes and regulations impact either the composition of a library network's membership or its sources of income. These considerations are especially relevant to any study of special library participation in networks. Therefore, this Chapter devotes considerable text to present constraints which determine the member compositions of state, multistate, and national networks and the impacts of such imposed conditions on network incomes.

In addition, we have reviewed selected federal legislation designed to stimulate interlibrary cooperation. We have considered the impacts of state laws and network regulations on special library participation in networking activities. Finally, we have discussed what we believe may become a significant legal issue for networked special libraries in the future as mini-and micro-based computerized library networks evolve and proliferate.

We have focused our attention on networks and cooperatives operating as formal, contractual entities, since legislation and regulation rarely if ever affect the kinds of traditional, informal, unfunded relationships which have long flourished in the library community. The reader is reminded, however, that because both the legal and the organizational structures of networks vary so greatly, the impact of a single statute or regulation on the operations of different networks may also vary.

As library networks and cooperatives have developed, legislative and administrative bodies have enacted statutes and regulations to guide, to regulate, and to shape their activities. In some instances, networks and cooperatives have become aware of requirements imposed by legislation or regulation only after they were well along with their plans or had even begun to operate. As a result, they sometimes encountered impediments which, either by intent or design, restricted participation of certain types of libraries in a network's activities. It must be remembered, however, that at any point in time, most statutes tend to reflect the present status of an entity. Except for the occasional law written to regulate or otherwise control the extent to which an enterprise will be permitted to develop, statutes rarely anticipate radical or even frequent change in an organization's character, composition, or objectives. It is not surprising, therefore, that special libraries may find their participation in networks impeded or denied. Their needs and interests were not evident at the time prevailing laws and regulations were enacted; therefore, often they are not represented in the networks' controlling legal documents.

For this reason, the Task Force decided it was important to examine the effects of existing legislation and regulations on present special library network participation. We examined selected federal and state laws in order to derive as complete a legal "profile" as possible. However, we did not undertake an exhaustive search of either the state codes or the U.S. Code. Instead, once we had identified our issues, we concentrated our efforts on how legal instruments relevant to those issues either restricted special library activity or encouraged participation in networks.

We also wished to determine whether state or regional networks routinely exclude from membership the libraries of profit making organizations on the grounds that their presence constitutes a threat to the nonprofit status of any network which qualifies as tax-exempt under Section 501(c)(3) of the Internal Revenue Code. Exclusion of any species of library appears to run contrary to the generally accepted view that multi-type library networking is essential if library resource sharing is to be extended to all citizens. Indeed, it would seem that dedicated and intense participation by all types of libraries must be encouraged if the educational objectives of the nation's library networks are to be achieved. It is equally important, however, to assure that the economic viability of the nation's library networks not be undermined by openhanded membership policies which overlook what is required to preserve the integrity of a network's tax-exempt status. This poses a real and crucial dilemma which we described and documented but could not resolve.

LEGISLATIVE AND REGULATORY ISSUES

As a first step, the Task Force's Working Group on Legislation developed a checklist of legislative and regulatory issues which appeared to affect the interests of special libraries. The checklist was created from a variety of documents, including the reports of the several states of their 1978-79 pre-White House Conferences on Libraries and Information Service. From our reading and discussions, we determined that the following issues were of particular concern to those who wished to involve special libraries in broader interaction with the rest of the library community and its users:

1. Increasing cooperation between special libraries and other types of libraries.
2. Supporting and funding cooperative projects among all types of libraries.
3. Mitigating the effects of proscriptive IRS regulations on memberships of for-profit sector libraries in non-profit library networks.
4. Designing national networks for multi-type library participation.
5. Encouraging or establishing more comprehensive state library networks.

The intent of each of these issues is to increase citizen accessibility to the totality of the country's library collections by providing mechanisms to stimulate higher levels of resource sharing among all libraries and their users.

INTERNAL REVENUE CODE BARRIERS

The legal implications for a non-profit library network of extending membership privileges to special libraries of for-profit institutions have been sporadically discussed, frequently exaggerated, rarely documented, and imperfectly understood. Few if any body of regulations which affect libraries have generated greater emotion and less systematic analysis than have certain sections of the Internal Revenue Code (hereinafter cited as I.R.C.) and their interpretations by the Internal Revenue Service (IRS). Any consideration of the economic consequences of multi-type library networking invariably raises questions about the advisability of including libraries of profit-making organizations. The concern most often articulated is that their involvement may jeopardize a network's tax exempt status and therefore its income. What follows is a discussion of the portions of the I.R.C. which deal with this issue, plus citations to cases and IRS rulings which clarify the I.R.C. in this regard.

It must be reemphasized that these sections of the I.R.C. were not written to bar a species of library from participation in library networks. Rather, the sections were formulated to provide tax exemptions for corporations formed for (among others) educational, charitable, and scientific purposes. To the extent that special libraries of for-profit organizations do not qualify as components of educational, charitable, or scientific organizations, library networks have experienced difficulty admitting them to membership in unrestricted numbers.

To fund the operations of the federal government, the framers of the Constitution provided Congress with the "power to lay and collect taxes, duties, imposts, and excises . . ." [1] Taxes were originally imposed upon specific commodities, legal instruments, real estate, and slaves. The first law imposing taxes on income became effective on July 1, 1862. Since that time Congress, the courts, and executive agencies have engaged in a never-ending process of amending, modifying, negotiating, and sometimes repealing sections of the income tax law. Over the years, Congress has developed a set of interrelated statutes which stipulate how incomes will be taxed. These have been cumulated in a single codified instrument known as the I.R.C., which comprises Title 26 of the U.S. Code.

Section 501(c)(3) of the I.R.C. provides for the exemption from federal income tax of organizations operating exclusively for a number of purposes, including charitable, educational, and scientific purposes. However, if such an organization receives income derived from the conduct of an unrelated trade or business, that income is taxable (I.R.C. Sec. 511). Unrelated business taxable income is defined as

> "gross income derived by any organization from any unrelated trade or business (defined in Section 513) regularly carried on by it, less the deductions derived by this Chapter which are directly connected with the carrying on of such trade or business both computed with the modifications provided in Section B" [I.R.C. Sec. 512(a)].

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I.R.C. Sec. 513(a) defines "unrelated trade or business" as

> "any trade or business the conduct of which is not substantially related (aside from the need of such organization for income or funds or the use it makes of the profits derived) to the exercise or performance by such organization of its charitable, educational, or other purpose or function constituting the basis for its exemption."

The pertinent Sections of the I.R.C. which apply are:

1. An organization is operated exclusively for the purposes set out in Sec. 501(c)(3) only if substantially all of its activities are in furtherance of the exempt purposes [I.R.C. Secs. 501(c)(3)-1(c)(1)].

2. The term "Charitable" is used in Sec. 501(c)(3) in its generally accepted legal sense, which includes the advancement of education [Sec. 1.501(c)(3) -1(d)(2)].

3. An organization may meet the requirements of Sec. 501(c)(3) even if it operates a trade or business as a substantial part of its activities if the operation of such trade or business is in furtherance of the organization's tax exempt purpose or purposes, provided the organization is not organized or operated for the primary purpose of carrying on an unrelated trade or business, as defined in Sec. 513 [I.R.C. Sec. 1.501(c)(3) -1)(e)].

4. A trade or business is "related" to exempt purposes only where the conduct of the business activities has a causal relationship to the achievement of exempt purposes, and it is "substantially related" only if the causal relationship is a substantial one. Thus, for the conduct of trade or business from which a particular amount of gross income is derived to be substantially related to purposes for which the exemption is granted, the production or distribution of the goods or the performance of the services from which the gross income is derived must contribute substantially to the accomplishment of those purposes. Where the production or distribution of the goods or the performance of the services does not contribute substantially to the accomplishment of the exempt purposes of an organization, the income from the sale of the goods or the performance of the services does not derive from the conduct of related trade or business [I.R.C. Sec. 12.512 -1(d)(2)].

REVENUE RULINGS, PRIVATE LETTER RULINGS, AND ANNOUNCEMENTS

By virtue of the laws enacted by Congress, income earned by individuals and corporations is subject to taxation (I.R.C. Sec. 11). Refinements as to which individuals and corporations should be taxed have been developed through statutory enactments and judicial interpretation. The Treasury Department is the executive agency which administers the I.R.C.

and it is this Department that interprets and enforces the statutory language of the I.R.C. as it applies to taxpayers. Empowered to promulgate regulations which explain and interpret the I.R.C. on the basis of legislative history and judicial decisions, the Treasury Department also issues Revenue Rulings in response to specific questions raised by taxpayers concerning their tax liabilities. These are published and may be persuasive as precedents in similar situations. The Treasury Department also issues Private Letter Rulings which are addressed to individuals, but these are incognito; they do not have the force and effect of law, and they may not be cited as authority for interpretation for any other fact situation.

A. Revenue Rulings, 1974-1979

The portions of the I.R.C. and the subsequent rulings which deal with the principles of resource sharing are intended to provide exemptions from taxation for corporations formed solely for educational, charitable, and other purposes. Revenue Rulings 74-116, 1974-1C.B. 127 and 74-614, 1974-2C.B.164 pertain to computerized library networks and stipulate the basis and conditions (pro and con) for tax exemption eligibility for library networks.

Revenue Ruling 74-116, 1974-1C.B. 127

In 1974, an Illinois consortium applied for tax exempt status under I.R.C. Sec. 501(c)(3). The organization was a membership association established to develop and exchange research data among the users of a specific type of computer. The organization served as a liaison between the users and the manufacturer of the computer. In Revenue Ruling 74-116, 1974-1 C.B. 127 (reproduced at the end of this Chapter), the IRS denied the exemption because the consortium served the private interests of its members rather than the public interest.

Revenue Ruling 74-614, 1974-2C.B.164

Later in 1974, the IRS considered a request from an organization created and controlled by a group of colleges and universities each of which had been previously exempted from federal income taxation. The emphasis in this ruling related to the educational benefit of networking to students and faculties. The organization itself did not own, nor did it plan to acquire a computer; instead, the network members accessed a number of different computers, a distinction not shared by the consortium members covered by Ruling 74-116, 1974-1C.B.127. Because the requesting organization was funded by government grants, contributions, and membership dues, the charitable test was applied. The IRS found that in its legal sense, "charitable" purposes include the advancement of education, under which this network organization clearly qualified. This position was stated in Revenue Ruling 74-614, 1974-2 C.B.164 (reproduced at the end of this Chapter). During subsequent years, this has been the controlling interpretation. It states that the network was organized and is operated for charitable purposes, including the advancement of education, and that therefore, the income to the network from membership and activity payments is exempt from federal taxation.

Throughout the 1960s and '70s, many computer network organizations formed by tax-exempt institutions qualified as tax-exempt organizations under the provisions of the I.R.C. 501(c)(3). Unfortunately, however, such applications for tax-exempt status were resolved at the IRS district level; therefore the approvals or disapprovals of these applications (usually in the form of Private Letter Rulings) were not published. For this reason, we do not know the total number of local networks which were granted or denied tax exempt status during the 1960s and 1970s.

B. Private Letter Rulings (1977-1980)

Early library networks were designed and established to provide for cooperation among public and academic libraries. They were created by individuals who worked in publicly supported libraries and the intent of these organizations clearly met the educational and charitable tax-exempt requirements of both IRS Revenue Ruling 74-614, 1974-2 C.B. 164 and I.R.C. Sec. 501(c) (3). Later, federal libraries, which also depend on tax dollars for their support, began to join the existing resource-sharing corporations. It is not surprising, then, that in the early days, IRS tax exemption rulings were addressed to networks which included just those kinds of libraries. Fortunately, as the intent and nature of library networking became more familiar and better understood, broader interpretations by the IRS began to emerge. Even so, current Rulings continue to reflect the IRS's earlier concern about the "proper" mix of for-profit organization libraries in nonprofit networking corporations.

Private Letter Ruling EIN 51-0163562

In 1976, the Midwest Regional Library Network (MIDLNET) requested a ruling regarding whether or not a new program designed to

> "facilitate the exchange of (OCLC) computerized bibliographic information between relatively small specialized libraries and the larger institutional members"

would constitute an unrelated trade or business and therefore jeopardize MIDLNET's tax exempt status under I.R.C. Sec. 501(c)(3). MIDLNET projected that:

> "the number of specialized libraries to be afforded participation in OCLC through this program will be approximately as follows:

Law libraries	20
Federal libraries	20-50
Historical Society libraries	6
Private corporate libraries	50-100
Academic libraries	20-50
Other specialized libraries	10-20"

In February, 1977, IRS ruled that:

> "these activities will not constitute the conduct of an unrelated trade or business and income derived from the activities will not be subject to the Unrelated Business Income Tax imposed by Section 511 of the Code."

Unfortunately, this Ruling did not address the question of the percentage of admissible for-profit members MIDLNET might accept without jeopardizing their tax-exempt status. Private Letter Ruling EIN 51-0163562 is reproduced in full at the end of this Chapter.

Although Private Letter Rulings cannot be cited as precedent, in 1981, Robinson reported that:

> "As a result of the ruling, SUNY/OCLC and the Pittsburgh Regional Library Council (PRLC) opened their doors to special libraries." [2]

Private Letter Ruling 7816061

In 1977, the Southeastern Library Network (SOLINET) requested a ruling on whether or not membership and activity fees paid by libraries of certain for-profit corporations for computer-stored library cataloging services could be treated as related business income and whether the inclusion of the for-profits in SOLINET would affect the tax-exempt status of the network. In January, 1978, IRS ruled that participation by for-profit corporations would not affect the tax exempt status of SOLINET (Private Ruling 7816061). The Ruling allowing for-profit corporations to join SOLINET stipulates:

> "you advise that, although you do not directly facilitate interlibrary loans among your members, the data base and information retrieval does make such exchanges simpler and faster. You state the direct benefit conferred upon all participating libraries is the broadening of the subject matter of the data base by the inclusion of highly specialized titles that may not ordinarily come to the attention of the not-for-profit libraries although many of these institutional libraries have a need for the volumes. You indicate that besides apprising member libraries of such literature, the inclusion of catalogue data assures that should a library purchase a particular title, no time would be lost in placing it upon the shelf nor would employee hours be wasted in preparing the card and various indices."

The Ruling goes on to summarize the rationale for allowing for-profit corporations to join SOLINET by stating that:

> "the proprietary libraries' holdings will enhance your data base so that you will be better able to serve the public educational institutions which comprise the vast bulk of your membership."

This rationale, i.e., the encouragement of resource sharing and enhancement of the database by including the collections of libraries in for-profit institutions seems to be fundamental to the SOLINET ruling. This is a positive rationale and provides grounds for arguing that minimal limitations should be imposed upon profit-making participants for purposes of the unrelated business income provisions of Section 511 of the Internal Revenue Code. However, the IRS Ruling did limit the numbers of for-profit libraries which could join SOLINET:

> "for-profit members will not exceed five percent (5%) of your total membership." (If 5% or less of SOLINET's membership is for-profit,) "your inclusion of the specified proportion of for-profit corporation libraries therefore furthers your primary educational purpose; as such it does not constitute an unrelated trade or business as defined in Code section 513(a) and the revenue received from the for-profit institutions is not subject to the tax imposed under section 513."

Private Letter Ruling 7816061 is reproduced in full at the end of this Chapter.

Private Letter Ruling 7951134

From 1977-1979, the 5% restriction imposed on SOLINET provided the definitive interpretation for other networks who wished to admit libraries of for-profit organizations to membership. In 1979, an unidentified computer network which had incorporated in 1974 requested a ruling on the effect of a change in their by-laws which would admit to membership profit-making institutions which could generate "between five and fifteen percent of . . . gross receipts." Private Letter Ruling 7951134, dated September 24, 1979, again found that this activity by the private sector was not an "unrelated trade or business and the income from the activity is not subject to the tax . . ." The Ruling is reproduced at the end of this Chapter.

Private Letter Ruling 8020048

In Private Letter Ruling 8020048, an unidentified organization of members participating in a national computerized holdings catalog requested an advance ruling on its tax-exempt status if service were extended to nonexempt libraries, not to exceed 10 percent of the membership. These nonexempt libraries were to be charged the same fees as other members. Again a favorable ruling was secured. Private Letter Ruling 8020048 dated February 20, 1980, is reproduced at the end of this Chapter.

While these subsequent Rulings extend the 5% SOLINET membership ruling to 10% and 15% for other networks, they leave unresolved the question of whether or not the 5% to 15% limitation on a network's membership also constrains the network's sources and percentages of income. For example, it can be argued that while the tax-exempt memberships of for-profits may be limited to 5%, 10%, or 15%, in the event that for-profit libraries exceed the percentage stipulated, only the network's income derived from those for-profit additional libraries ought to be taxed. This issue remains unresolved by later Rulings. Indeed, questions regarding the application of the percentage designation to both the "unrelated business

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income" and the "exempt purpose" issues are, as of this writing, unanswered.

C. Revenue Ruling 81-29, IRB 1981-4,13

In 1981, the IRS issued a Revenue Ruling on the subject of tax-exempt library network organizations offering services to certain non-exempt libraries (Revenue Ruling 81-29, IRB 1981-4, p. 13.). This is the second Ruling that may be cited as precedent; the only other Revenue Ruling specifically on point was Revenue Ruling 74-614, 1974-2 C.B 164, which was issued in 1974. Apparently, Revenue Ruling 81-29, IRB 1981-4 was issued to clarify the IRS position on the point.

The Ruling deals solely with the question of whether a library network which admits profit-making libraries is exempt under I.R.C. Sec. 501(c)(3). Significantly, that ruling states

> "the fact that the information is furnished to both exempt and nonexempt libraries does not detract from the educational value of the information itself."

The test seems to be whether or not "useful bibliographic information is made available to researchers." If this is the case, the "some" limitation contained in this Revenue Ruling may be considerably broader than the limitation contained in the earlier Letter Rulings regarding participation in networks by libraries of profit-making institutions. However, no elaboration of the extent of "some" is stated; therefore, interpretation may still be required if the percentage exceeds that approved in the earlier Ruling. Revenue Ruling 81-29, IRB 1981-4,13 amplifies Revenue Ruling 74-614 which means that together, the two represent IRS's 1981 position on library networking membership composition. Revenue Ruling 81-29, IRB 1981-4,13 is reproduced in full at the end of this Chapter.

D. Announcement 79-56, IRB 1979-14,26

In 1979, the IRS issued Announcement 79-56, IRB 1979-14,26 which stipulates that while the Southeastern Nebraska Library Network (which had a special project operating in Beatrice, Nebraska) had formerly been treated as a public charity it was "now classified as a private foundation." No explanation was given for the change of status. The Announcement reads as follows:

> "The following organizations have failed to establish or have been unable to maintain their status as public charities or as operating foundations. Accordingly, grantors and contributors may not, after this date, rely on previous rulings or designations in the Cumulative List of Organizations (Publication 78), or on the presumption arising from the filing of notices under section 508(b) of the Code. This listing does not indicate that the organizations have lost their status as organizations described in section 501(c)(3) of the Code, eligible to receive deductible contributions.

Former Public Charities. The following organizations (which have been treated as organizations that are not private foundations described in section 509(a) of the Code) are now classified as private foundations:

IRB 1979-14,26

Southeastern Nebraska Library Network, Beatrice, Nebraska."*

In the spring of 1982, a member of the Task Force discussed this IRS Announcement with Ms. Nancy Chu, Coordinator of the Southeastern Nebraska Library Network. She said that the Announcement had not affected the network's tax status, since it has no membership dues, collects no fees and has never been incorporated. The Network operates on LSCA funds furnished by the Nebraska Library Commission which is located in Lincoln, Nebraska. Ms. Chu had been unaware of the IRS Announcement prior to our call. She suggested that possibly someone wishing to contribute to the Network's special project in Beatrice, Nebraska, had requested a private ruling from the IRS and the IRS had issued the Announcement in response to that request. It appears then, that a tax-exempt status enjoyed at any point in time by a network or utility does not guarantee its continued future exemption by the IRS.

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* Source: LEXIS®, a computer-assisted legal research service provided by Mead Data Control. Reproduced with permission.

E. Conclusions About the Effects of IRS Rulings

The Task Force believes that NCLIS, SLA, the directors and managers of the state and multi-state library networks and those special librarians employed in for-profit corporations share an obligation to strike an appropriate balance between increased participation of the special library community in broad cooperative programs and maintenance of the revenue structure of the nation's library networks in jeopardy. This is no easy task. Careful, thoughtful monitoring and orchestration of future changes in the relationships between networks and their special library members will be necessary. Network changes are possible and desirable, but they must be undertaken cautiously and only after their impact on all affected parties has been carefully examined.

We believe that matters of network membership composition as they relate to network income will continue to determine both the nature and extent of special library participation in national programs. In addition, such issues may continue to be decided by IRS on a case-by-case basis and at non-precedent setting levels. Therefore, SLA needs to monitor and to react to future developments in this area for two reasons:

- First, the Association can provide a necessary service to both the library and networking communities by creating the national corporate memory on network membership issues as they relate to network tax exemptions.

- Second, armed with current facts, SLA can advise and assist the Congress, NCLIS, state legislators and network directors on the statutory language necessary to encourage interlibrary cooperation and resource sharing and to support both the networking interests of the special library community and the economic stability of the networks.

Thus far, this nation has chosen not to enunciate a comprehensive national information policy. For this reason and others, libraries and library networks will continue to be regulated by legal instruments devised for ordering other kinds of endeavors. The Task Force believes it is imperative that SLA provide national leadership on issues relating to the incomes and memberships of networks which include, or hope to include, for-profit sector special libraries among their members.

It bears reemphasizing that neither IRS nor state or local tax decisions are chiseled in stone. All are subject to later interpretation, revision and reversal. This potential for change was highlighted in April of 1982 when the Dublin, Ohio, tax assessor ruled that OCLC, Inc., did not qualify for real estate tax exemption even though the Columbus, Ohio, tax assessor had ruled some years earlier that OCLC did qualify for such an exemption. [3] Careful, constant monitoring and negotiation by SLA of such developments will be necessary for full, uninterrupted and unencumbered special library participation in national programs.

LEGISLATION AFFECTING FEDERAL LIBRARIES AND THE SHARING OF GOVERNMENT-PRODUCED INFORMATION

While the I.R.C. and its accompanying interpretations have had fundamental impacts on the development of library networks, additional statutes and regulations at both the federal and state levels have been pivotal in either encouraging or discouraging network development. What follows are examples of legislation which highlight the issue of whether special library efforts to participate in regional and national cooperatives are being encouraged or discouraged.

A. Access to Government-Produced Information

Federal laws and regulations vary in the kinds of requirements they impose on federal agencies and their libraries either to withhold or to provide information services to the public. Statutes and regulations dictate both the extent and conditions under which federal libraries may participate in resource sharing activities. For example, one agency's enabling legislation may direct that any information it collects be made available to the public. Other statutes may impose stringent constraints on the collection, generation, use, storage, or release of certain information or data in a federal agency's custody. Often, conflicts result from contradictions between an agency's legal obligation to restrict access to information or data and the public's demand for access to that information or data. There are times when the fact that an agency collects certain information or data is considered confidential. Neither the information itself nor the fact that it has been collected can be disclosed. Under different circumstances or at different times, that same information may lose its confidential character and become open for public inspection. The Patent and Trademark Office exemplifies this diversity in information handling.

> "Title 35 of the U.S. Code requires the Patent and Trademark Office (PTMO) to assure the confidentiality of patent applications while they are under examination. In addition, the statute directs PTMO to conduct a comprehensive review of the world's published literature, to determine whether or not a pending application describes something truly new or unique. Obviously, online searches and any other information furnished the patent examiner must be treated as confidential throughout the entire examination period. But once a patent has been either granted or denied, all relevant information and data become part of PTMO's open, publicly accessible records." [4]

In contrast, certain legal data bases and systems belonging to the Justice Department (JURIS), the Air Force (FLITE), and the Treasury Department (RIRA) have been perpetually restricted to federal use. Because they include confidential files, the government has been unwilling to make any portion of them accessible to the public.

B. Freedom of Information and Privacy Acts

The Freedom of Information Act (FOIA) [5 USC Sec. 552 (1976)] was promulgated in 1976, and

> "requires that Federal agencies open their official records to U.S. citizens whenever they are requested to do so. Only considerations of national security or possible compromise of proprietary information relieve an agency of the requirement to comply with this Act." [4]

Therefore, statutes or regulations which prohibit outside access of federally generated databases are often subject to FOIA challenges by both individuals and private organizations. In the case of the JURIS, FLITE, and RIRA systems mentioned earlier, while the legal profession recognizes that certain segments of these systems contain files which cannot be made public, the profession does not agree that entire systems need be restricted to federal access only. Repeatedly, the legal profession has invoked the freedom of information premise to gain access to the nonconfidential segments of these systems, but as of 1982, these efforts had been unsuccessful.

The Privacy Act [5 USC Sec. 552A (1976)]:

> "prohibits Federal agencies from collecting data on individuals or groups for one purpose and using such information for other purposes. Further, the Act provides criminal sanctions for unauthorized disclosure or release of such information." [5]

Berger and Cerutti observed that:

> "When a Federal library generates or furnishes data which later constitute all or part of an agency's official records, subsequent uses of that information are determined by the provisions of one or both of these Acts." [5]

FEDERAL LEGISLATION DESIGNED TO STIMULATE MULTI-TYPE LIBRARY NETWORKING

A. The Library Services and Construction Act [(LSCA) 20 USC Sec. 351]

Since 1966, the Library Services and Construction Act (LSCA) has included an important (if underfunded) legislative initiative, designed to encourage the growth and development of state and interstate multitype library cooperatives. Title III of LSCA, "represents the only Federal legislative action which specifically provides funds for multitype library cooperation." [6]

Because Title III provides a mechanism for establishing cooperatives which include all types of libraries, it served as a stimulus to numbers of special libraries who joined networks as a result of its passage. The Title authorizes state libraries to spend federal dollars on a wide range of activities which contribute to multitype interlibrary cooperation. These include resource expansion and document delivery programs and the development of union lists. In 1975, Joseph F. Shubert, who was at that time State Librarian of Ohio, observed:

> "The LSCA Program placed new and major responsibility on the state agencies . . . This is particularly true of Title III, which brought state library agencies into a new relationship with university, school, and special libraries as well as with the major public libraries. LSCA-assisted programs shaped network development and caused major changes in interlibrary sharing and communication." [7]

All too often, however, Title III funds have been spent by the state libraries on cooperative efforts intended primarily to benefit public libraries. [8] However laudatory these efforts to improve the public librarys' circumstances, they have resulted in projects which have proved less than attractive to academic libraries; in addition, they have provided very limited to zero opportunities for special libraries to participate in Title III experiments. It should be noted, however, that these narrower applications of Title III funds can be attributed, at least in part, to the persistently meager funding of LSCA in general and Title III in particular. Indeed, many state librarians who wished to proceed with network development were forced to use funds appropriated under other titles of LSCA because Title III dollars were insufficient to do the job. [9] The Omnibus Budget Reconciliation Act of 1981 extended LSCA through 1984.

In November of 1979, delegates to the White House Conference on Libraries and Information Services resolved that

> "formal and systematic channels must be developed to provide cooperation among all library and information services in order to improve access to all information for all citizens . . . Congress, the . . . Department of Education, and state legislatures should examine legislation to ensure cooperation . . . Congress and state legislatures should provide incentives through appropriations for cooperation . . ." [10]

The fact that such a resolution was necessary at all in 1979 underscores the inability of LSCA Title III to stimulate substantial development of multitype library cooperative programs designed to serve a wide variety of information needs and library users.

B. The National Library and Information Services Act

During most of the investigatory period of the Task Force (October, 1980 - September, 1981), consideration of library legislation, including the proposed National Library and Information Services Act (NLISA) was delayed, due to the Congress's preoccupation with the 1982-1983 federal budget. On June 25, 1981, S.1431 was introduced by Senator Robert Stafford (R-VT), who chairs the Senate's Education Subcommittee. Mr. Stafford introduced the Bill on behalf of himself and Senators Pell, Randolph, and Kennedy and described its goal as simply: "to improve America's libraries." He added:

> "America's libraries have not kept pace with information needs and demands. Creativity and initiative are required to make better use of existing resources and to develop techniques for improved access to and sharing of information. My bill is an attempt to reverse a trend that threatens to erode the library's tradition as a public institution - a precept that is almost fundamental to our democratic system." [11]

A major provision of the Bill is to provide

> "funds to connect -- on a voluntary basis -- all public and private libraries that care to participate." [11]

Title I of NLISA, "Interlibrary Cooperation and Network Support Grants to States for Interlibrary Cooperation and Network Support Programs" would provide federal funds to

> "be used for planning, development and maintenance of cooperative library networks on local, State, regional, and national levels. Resources of different kinds of libraries would be pooled, and research libraries with collections used by the general public would be eligible for financial assistance." [12]

Since Title I does not limit the species of libraries eligible to participate, the language appears to include special libraries. This perception is reinforced by the language of Section 102(a)(2) of Title I which specifies that funds shall be available for:

> "establishing, expanding, and operating intrastate, statewide, regional, multistate, and national cooperative networks of libraries to provide for the systematic and effective coordination of the resources of school, public, academic, and special libraries and information centers to achieve improved service to the users thereof . . ." [13]

However, Sec. 102(a)(2)(c) stipulates that

> "No school, public, academic, special library or information center, or resource library may receive assistance or network services under this title unless the school, public, academic, special library or information center, or resource library has agreed to share its own library and information resources on a fair and equitable basis with other participating libraries in the appropriate cooperative network program." [14]

It appears that these provisions of NLISA guarantee broad special library participation in federally funded networks, provided they are able and willing to share their resources with other types of libraries. Section 2(2)(a) of the Act stipulates that:

> ". . . it is essential that a national program be established to insure that an adequate level of library and information services is made available in all communities, accessible to all residents thereof, and to encourage government agencies at all levels to work together toward the goal of library and information services for all . . . It is the purpose of this Act to assist the States in promoting interlibrary cooperation among all types of libraries . . . [15]

Section 7 of the Act would establish an Office of Libraries and Learning Technologies in the Department of Education and provides that a Deputy Assistant Secretary would:

> "encourage and assist interlibrary cooperation among libraries of all kinds, including national and regional library and information resource centers [7(a)(3)(A)], encourage and assist the development and implementation of procedures to insure convenient, speedy, and free access to all nonclassified information and materials in Government repositories . . . including information and materials maintained by federally funded libraries and information centers [7(a)(5)], encourage and assist the development

> and implementation of procedures to facilitate participation by all federally supported libraries and information services and appropriate Federal agencies in the development, review, adoption, and implementation of national and international standards for publishing, producing, organizing, storing, and transmitting information using established and recognized procedures and institutions" [7(a)(6)]. [16]

Once again the language of Section 7, while it does not specifically name all types of special libraries, only "federally funded special libraries", does provide encouragement to a broader spectrum of special libraries than were included in earlier federal statutes. In addition, Section 7 includes a strong mandate to federal libraries and their agencies to participate in a wider range of national and international information activities, to include the establishment, implementation, and adoption of national and international information exchange standards.

The Task Force supports the intent of both Title I and the portions of Sections 2 and 7 cited, because we believe they would benefit regional and national networking initiatives for all types of libraries and their users. Properly funded and administered, these Sections could stimulate greater and broader special library participation in nationwide cooperative programs.

C. The Higher Education Act (HEA) of 1965 as Amended [20 USC Sec.1001- 1145a (1976)]

Title II-A of the Higher Education Act, known as the "College Library Resources Program," [17] provided funds to be used for the purchase of library materials. Under Title II-A, special purpose grants could also be used for academic networks and cooperatives with matching funds. Special purpose grants, however, have never been funded because the level of funding for HEA-Title II(2) has never been sufficiently high to trigger this program. Indeed, their 1982 funding level is zero.

Sec. 773.1 of the basic Act describes the purposes of the College Library Resources Program as follows:

> "to assist institutions of higher education and other public and private nonprofit library institutions to improve the quality of their library resources, including law library resources, and to share their library resources through the establishment and maintenance of networks."

Sec. 773.2 specifies that eligible applicants include public or private nonprofit library institutions. Sec. 773.5 defines a "network" as

> "a cooperative organization formed to share library resources and to provide services (such as computer services and telecommunications) to its members. Its members may include institutions of higher education and public or private nonprofit library institutions."

This definition raises questions about the kinds of libraries which may or may not be allowed to participate. While the definition is marginally permissive, the inclusion of memberships of special libraries of for-profit firms apparently is not intended. The notion that the information resources of this country can be successfully networked without recourse to those held by for-profit firms defies logical explanation. This is a prime example of counterproductive legislative language which depresses vigorous, comprehensive resource sharing among all the nation's libraries and their users.

In the past, HEA Title II-B provided research and demonstration funds for a number of notable network projects. OCLC, the Washington Library Network, NELINET and BALLOTS (the precursor to RLG) all received developmental funds from the federal government under Title II-B of the HEA. [18] This kind of R&D support is needed by many if not most networks because they lack the resources to expand or to experiment otherwise. Without such support in the future, innovation and experimentation will occur at a much slower rate if they occur at all.

When it is funded, HEA-IIB also includes grants to cover the costs of training institutes, fellowships, and similar traineeships. For example, in 1978, the Metropolitan Washington Library Council received a Title II-B $35,000 grant to develop a model management curriculum for special librarians. The money was matched by an additional small grant for the Washington, D.C., Chapter of SLA. Four workshops were developed and were offered free to special librarians in the Metropolitan Washington area. The sessions fostered a great deal of discussion, enthusiasm and analysis.

There can be no question that the attendees' level of sophistication and knowledge concerning management techniques was enhanced because of their participation in this project. [19] The Task Force believes that when available, this kind of funding can be used to prepare librarians for fruitful participation in library cooperatives and networks. Furthermore, we believe that improved network literacy, especially on the part of special librarians, is essential to the continuing health and robustness of the country's library cooperatives.

On December 23, 1980, the Department of Education announced proposed amendments to HEA-IIA, the College Library Resources Program.

> "The proposed regulations establish an alternative method of satisfying the maintenance of effort requirement, amend the waiver provision, and add a new program purpose -- the establishment and maintenance of networks for sharing library resources."

As of May, 1982, these amendments were still in draft form and the Department of Education was preparing to respond to comments generated by their December, 1980, publication in the Federal Register.

STATE LAWS AFFECTING SPECIAL LIBRARY PARTICIPATION IN NETWORKING

The Task Force discovered that while the 1979-81 laws of most states did not prohibit participation by special libraries in state-sponsored networks, there was evidence that, in some instances, special library participation was not encouraged. For example, in 1979, the Michigan State encouraged. For example, in 1979, the Michigan State Librarian reported that Michigan law limits special libraries to associate memberships in state sponsored library cooperatives [21]. Oklahoma special libraries were included within the jurisdiction of the Department of Libraries [22]; however, in 1978, the Director of Oklahoma's Department of Libraries reported that public schools and institutions of higher learning were specifically excluded from the Department's jurisdiction [23]. This circumstance posed a new twist to representation of all types of libraries in state sponsored cooperatives. In 1979, the Illinois State Librarian reported that nonpublic libraries are accepted as affiliate members in the state's networks and are accorded nonvoting membership status [24]. (The Task Force's 1981 Survey of the networks corroborated this 1979 report of the Illinois State Librarian.)

In addition, the Task Force determined that the laws of Colorado, Illinois, Pennsylvania, and Wisconsin, [25] provided for funding of cooperative library endeavors, but only mentioned public libraries in the context of such activities. Since special libraries are not specifically mentioned, by implication, their participation may have been restricted or even prohibited. It should be noted, however, that responses to our 1981 Surveys of both SLA and the networks indicated that, despite the existence of a state statutory impediment to full participation, special library network memberships are more numerous in Illinois than in any other state in the Union.

In testimony to Congress in 1979, David E. King, Librarian and Senior Editor of the Standard Educational Corporation of Chicago recommended that state policies regarding participation in the networks be examined and that legislation be enacted to assure full multitype library participation in any network using Federal funds for its development or support. He suggested Congress consider offering financial incentives to states to encourage full participation by all types of libraries,

> "including those within the profit-making sector. It should be remembered that profit-making organizations are substantial contributors to the tax base which supports publicly funded libraries and their programs at all levels - local, state, and federal. Where these tax dollars are at work, all should be treated equally." [26]

The Task Force agrees with his statement.

CONTRACTUAL AND REGULATORY BARRIERS AFFECTING SPECIAL LIBRARY NETWORK PARTICIPATION

A. OCLC Cataloging Requirements

An early issue brought before the Task Force was the requirement by OCLC that its members, including member libraries of the for-profit sector, contribute all current cataloging records to the publicly-accessible database. In January of 1981, the Chair of the Task Force and the President of SLA cosigned a letter to the President of OCLC. We observed that no network can reasonably expect a corporation's library to input trade secrets, laboratory notebooks, industrially sensitive or proprietary information into a database such as the OCLC's. We said that

> "even the scope of collection development . . . could in some instances be considered proprietary . . . knowledge by one organization of the scope of special collections in another might diminish the competitive security of the latter . . . (and) libraries in organizations working with classified security information cannot comply legally with OCLC's cataloging requirement." [27]

In his reply, President Rowland Brown made it clear that the OCLC Board of Trustees would not

> "require any library, including special libraries, to contribute holdings which are considered proprietary or classified and would not be available for general research, lending, etc. . . . We accept the judgement of the library and in effect place the burden of honoring in good faith the requirement to contribute all holdings other than those that would generally create security or competition difficulties." [28]

This clarification diminished a formidable obstacle to full special library participation in an important national effort, and it illustrates that negotiation can result in modification and change. However, the reader is cautioned not to generalize. The OCLC decision is not binding on any other network or utility or for that matter, on future OCLC Boards of Trustees. We reiterate, each case will need to be addressed, negotiated, and decided on its own merits. The Task Force's letter to OCLC and OCLC's response are reproduced in full at the end of this Chapter.

B. Conflicting Requirements Between Networks

Markuson has observed that the "network organization structure "in the United States has been

> "flexible and largely nonprescriptive, allowing each area of the country to adjust to prevailing political, economic, and library conditions." [29]

In the course of its deliberations, the Task Force learned that because of the diversities of structure and organization among library networks, it is not unusual for the operating regulations of network A to be written in such a way as to conflict with similar regulations of network B. In addition, our 1981 Survey of the SLA membership produced evidence that most special libraries which participate in one network belong to at least one additional network. As a result, sometimes special libraries find themselves in Catch-22 situations when they try to comply with comparable but conflicting regulations issued by different organizations. For example, the library lending hierarchy prescribed by a Regional Medical Library Network is often at odds with similar hierarchies stipulated by state or local cooperatives. Therefore, a medical library participating in both the Regional network and a local cooperative may well find itself forced to "honor" only in the breach interlibrary borrowing regulations promulgated by one or the other.

While the Task Force did not attempt to negotiate any of these differences, we have addressed the matter in the discussion and text of our Recommendation 8 in the EXECUTIVE SUMMARY AND RECOMMENDATIONS Section of this Report.

C. The Antitrust Issue

In the future, the special library community may need to deal with the antitrust implications of subject-oriented and mission-oriented library networks which include large numbers of for-profit libraries. While we found no evidence that such questions have been raised in the past, the Task Force believes that this may well become a critical issue in the future. Technological alternatives to our present centralized networking structures continue to improve and proliferate. Inevitably, they will alter the configurations of U.S. library networking activities. Subject and mission-oriented library networks will become more feasible, more economic, more doable in the future. This may not be an unalloyed benefit. In a 1982 Washington Post article reporting on the efforts of 15 computer companies to form a joint research and development cooperative, Thomas Lippman noted that:

> "The prospect of cooperative product development among competing companies raises obvious antitrust questions." [30]

Lippman added that:

> "A senior antitrust official at the Justice Department said that there is 'no absolute reason why we should oppose this. The policy of the department is that there are circumstances where joint research activities are permissible and promote efficiency.'" [31]

Whether or not the Justice Department would view cooperative information products development among libraries of competitors of one or more industries as permissible needs to be explored. An attorney of a major computer corporation believes that networking by libraries of competing organizations will not necessarily generate antitrust problems. The Director of libraries for that corporation supplied the following explanation:

> "The crux of antitrust vulnerability lies in the perception of such a utility as being either *exclusionary* or *hostile*, i.e., access to such a for-profit developed data utility must not limit its access to any particular group or, apart from the standard fee-based contract requirements, have membership criteria which are intended, or can be perceived as being intended to limit its access to any particular group. The safest and most logical approach is to have a *first come*, *first served*, standard fee structure access.
>
> An example of a hostile or exclusionary information resource would be access to patent information available to the largest automotive manufacturers, but not available to others who wish it in order to enter the same field or to be active in a related field. This is an artificial restriction of equal access to information and equal opportunity in the marketplace and makes such a consortium vulnerable to antitrust litigation. However, limitations of access which come about solely due to the database utility's inability to add more users because of equipment or personnel constraints are not considered exclusionary or hostile.

> A database utility would be perceived as controlling or inhibiting information access in an exclusionary manner if its access criteria excluded large groups of potential users. It would also be vulnerable if it controlled both the raw data source and the finished product. Any contributor to a for-profit developed and controlled database must agree that data entered in the database will have no limitations placed on it which are not placed on the total database. In addition, such limitations must be of the contractual, fee payment sort typical of the contracts of a DIALOG, OCLC, or RLIN. (DIALOG is particularly analagous since it is a service provided by a for-profit organization, although it is predominantly the seller of a service rather than the creator or seller of a database.)
>
> Copyright constraints on the construction and sale of access to such a database would be the same as those of DIALOG, if more than a bibliographic locator data file was intended. That is, if precise or substantial abstracts were to be created or copied (as from Chemical Abstracts) the same license would be required for a second or third party user." [32]

Should the antitrust issue become a barrier to interlibrary cooperation in the future, one possible solution could be the establishment and funding by the private sector of a non-profit corporation created to broker and generate cooperative information services and products for profit-making organizations.

References

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[4] Patricia W. Berger and Elsie Cerutti, "Management of Online Reference Search Services in Federal Libraries." Science and Technology Libraries, vol. 1, no. 1, Fall, 1980, p. 82.

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[7] Joseph F. Shubert, "The Impact of the Federal Library Services and Construction Act, Library Trends, vol. 24, no. 1, July, 1975, p. 40.

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[10] White House Conference on Libraries and Information Service. Resolution C-13. "Interlibrary Cooperation." Summary Report, White House Conference on Libraries and Information Service. Washington, D.C., National Commission on Libraries and Information Science, March, 1980, p. 69.

[11] 127 Congressional Record S7111 (June 25, 1981).

[12] Ibid.

[13] Ibid., S7115.

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[16] Ibid., S7113-7114.

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[19] Mary Sage, *A Model Management Curriculum for Special Libraries*, Washington, D.C., Metropolitan Washington Library Council, 1979.

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[22] Okla. Stat. Ann. Ch. 65, Sec. 3-105 (1967).

[23] Okla. Stat. Ann. Ch. 65, Sec. 1-104 (E) (1967).

[24] *The Report on Library Cooperation, 1980*, op. cit.

[25] Colo. Rev. Stat. Sec. 24-60-1501 Art III (enacted 1963).
81 Ill. Ann. Stat. Secs. 101, 112 (enacted 1961 and 1965). (Smith-Hurd).
24 Pa. Stat. Ann. Sec. 4211 (Purdon).
Wis. Stat. Ann. Sec. 43.52 (enacted 1955) (West).

[26] David E. King, unpublished testimony to the U.S. Congress, at a hearing held during the White House Conference on Libraries and Information Service, Washington, D.C., November 19, 1979.

[27] Letter to R. C. W. Brown, OCLC, Inc., January 20, 1981, from P. W. Berger and J. B. Dodd.

[28] Letter to P. W. Berger and J. B. Dodd, March 9, 1981, from R. C. W. Brown.

[29] Barbara Evans Markuson, "Revolution and Evolution: Critical Issues in Library Network Development," *Networks for Networkers*, op. cit., p. 11.

[30] "Computer Companies Join Forces, *Washington Post*, 30 May 1982, p. F1.

[31] Ibid., pp. F1, F8.

[32] Unpublished letter to P. W. Berger, 12 May 1982.

IRS REVENUE RULING
74-116, 1974-1C.B. 127

26 CFR 1.501(c)(3)-1: Organizations organized and operated for religious, charitable, scientific, testing for public safety, literary, or educational purposes, or for the prevention of cruelty to children or animals.

Educational; computer users. An organization whose membership is limited to organizations that own, rent, or use a specific type of computer and whose activities are designed to keep members informed of current scientific and technical data of special interest to them as users of the computer is not exempt under section 501(c)(3) of the Code.

Rev. Rul. 74-116

Advice has been requested whether the nonprofit organization described below qualifies for exemption from Federal income tax under section 501(c)(3) of the Internal Revenue Code of 1954.

The organization is a membership association devoted to developing and exchanging research data among users of a specific type of computer. The organization also serves as liaison between users and the manufacturer of the computer.

In furtherance of its objectives, the organization conducts meetings and seminars at which operational and technical problems relating to the use of this computer are discussed. Representatives of the manufacturer are invited to attend these functions to answer questions concerning the computer's operation.

The organization publishes reports of its meetings and seminars for distribution to members. It also publishes a monthly newsletter to keep members informed of current scientific and technical data of special interest to them as users of the computer. A section of the newsletter is devoted to advice and other comments from the manufacturer relating to the use of the computer.

Membership is limited to organizations that own, rent, or use this specific computer. Income is from membership dues and seminar fees. Expenditures are made primarily for instructional materials, publishing, and other operational expenses.

Section 501(c)(3) of the Code provides for exemption from Federal income tax of organizations organized and operated exclusively for educational purposes.

Section 1.501(c)(3)-1(d)(1)(ii) of the Income Tax Regulations provides that an organization is not organized or operated exclusively for any exempt purpose set forth in section 501(c)(3) of the Code unless it serves a public rather than a private interest.

By making specialized information available to its members under the circumstances described above, the organization is serving the private interest of its members rather than a public interest. Accordingly, the organization is not exempt from Federal income tax under section 501(c)(3) of the Code.

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IRS REVENUE RULING
74-614, 1974-2C.B. 164

26 CFR 1.501(c)(3)-1: Organizations organized and operated for religious, charitable, scientific, testing for public safety, literary, or educational purposes, or for the prevention of cruelty to children or animals.

Educational; regional computer network. An otherwise exempt organization of exempt colleges and universities that devises, operates, and provides the organizational structure for a regional network of member owned or leased computers to collect and disseminate scientific and educational information to exempt members' faculties and students is operated exclusively for charitable purposes and exempt under section 501(c)(3) of the Code.

Rev. Rul. 74-614

The Internal Revenue Service has been asked whether the nonprofit organization described below, which otherwise qualifies for exemption from Federal income tax under section 501(c)(3) of the Internal Revenue Code of 1954, is operated exclusively for charitable purposes.

The organization was created and is controlled by the colleges and universities in a particular geographical region each of which has been recognized as exempt from Federal income tax under section 501(c)(3) of the Code.

The purposes and activities of the organization are to devise, operate, and provide the organizational structure for a regional computer network to enable member educational institutions, including faculties and students, to benefit from research and scientific information developed by other member institutions and the Federal government. Any member-user can utilize any of several computers owned (or leased) by member-suppliers, for the collection and dissemination of scientific and educational information in connection with the educational and research programs of the member-user's faculty and students.

The organization does not own, nor does it plan to own, any computers. It conducts an information clearing house responsive to the curriculum and research needs of member-users. It informs each member institution of the educational data and computer time available on the equipment of member suppliers. The organization's employees also visit the campuses of member suppliers to determine available resources, and also the campuses of member users keeping them advised of new educational data and to keep aware of their curriculum needs.

The computer network is not used for administrative matters such as class scheduling, billing, or processing applications. The equipment, through which the network functions, is not designed to accommodate the high speed batch programs characteristic of administrative data processing.

The organization also maintains a staff to conduct research into the technical and managerial problems which arise from the operation of a regional computer network and to devise solutions to those problems and to disseminate the results of its research. The results of this research are made available not only to members but also to the general public.

The organization is supported by governmental grants, contributions, and membership dues. In addition the organization acts as a conduit with respect to amounts paid by member-users of the equipment to member suppliers, retaining only a small part to defray its expenses in connection with this activity.

Section 501(c)(3) of the Code provides for the exemption from Federal income tax of organizations organized and operated exclusively for charitable purposes.

Section 1.501(c)(3)-1(d)(2
the Income Tax Regulations pr
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section 501(c)(3) of the Code i
generally accepted legal sense,
includes advancement of educat

By providing a coordinated pr
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including faculty and student
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Even though an organization
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Revenue Ruling, it must file an
cation on Form 1023, Applicati
Recognition of Exemption, in
to be recognized by the Servi
exempt under section 501(c)(3)
Code. The application should b
with the District Director of In
Revenue for the district in wh
located the principal place of bu
of the organization. See se
1.501(a)-1 of the regulations.

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Internal Revenue Service
PRIVATE LETTER RULING
EIN 54-0163562

Department of the Treasury

Washington, DC 20224

Midwest Regional Library
Network
820 Davis Street
Evanston, Illinois 60201

DO 36
EIN 51-0163562

Person to Contact: Mr. Linehan
Telephone Number: (202)566-4027
Refer Reply to: E:EO:T:R:1-2
Date: FEB 9 1977

Gentlemen:

This is in response to a letter from your attorney, Mr. Bradford E. Block, dated May 12, 1976, in which he requested rulings concerning the Federal tax consequences of a new program you are planning to undertake. Mr. Block inquired whether the activities you propose to engage in would adversely affect your exempt status and whether operation of the new program would constitute conduct of an unrelated trade or business.

Our records indicate that you were recognized as exempt from Federal income tax under section 501(c)(3) of the Internal Revenue Code on October 6, 1975, and classified as an organization described in section 509 (a)(2) of the Code. Your advance ruling period ends on September 30, 1977.

Your purposes, in pertinent part, are as follows:

"To assist academic research libraries, state libraries and agencies, state networks, and other library organizations in providing library services to citizens of the Midwest through the promotion of national library standards, and the development, maintenance and operation of a shared bibliographic data base making use of telecommunications, computer, and otherwise."

The ruling request submitted on your behalf indicates that you plan to undertake a program to facilitate the exchange of computerized bibliographic information between relatively small specialized libraries and the larger institutional members of the Ohio College Library Center. This will enable the relatively small specialized libraries to participate in the OCLC information system. The

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libraries involved will include law libraries, academic libraries, and other relatively small highly specialized libraries. In order to implement this program you will provide the following services to the specialized libraries:

1. Arrange for the holdings of the specialized libraries to be added to the OCLC data base. Initially only the recently acquired holdings together with all future acquisitions of the specialized libraries will be placed on the OCLC computer.

2. Supervise the installation of time sharing and other computer terminals on the premises of the specialized libraries.

3. Train the staff of the specialized libraries on the use of the OCLC system. Initial training sessions will be provided when a specialized library obtains access to the OCLC system and ongoing training sessions will be provided on a continued basis to accomodate new library staff members and modifications in using the OCLC system.

4. Resolve any problems encountered by the specialized libraries in using the OCLC system.

5. Regularly bill the specialized libraries for all services received in connection with the OCLC system.

You will charge the specialized libraries a start-up charge which will vary depending primarily upon the amount of specialized library data to be added to the OCLC base. OCLC will not charge you a start-up fee for each new specialized library added to the network. OCLC will charge you a fee for each data request initiated by a specialized library. Subsequently, you will bill each specialized library the OCLC transaction charges plus a service fee to cover your administrative and training costs.

The income which you expect to receive for these services may represent a substantial portion of your total income for the taxable year. It is anticipated that the number of specialized libraries to be afforded participation in OCLC through this program will be approximately as follows:

Law libraries	20
Federal libraries	20-50
Historical Society libraries	6
Private corporate libraries	50-100
Academic libraries	20-50
Other specialized libraries	10-20

As explained in section 1.501(c)(3)-1(a) of the Income Tax Regulations, an organization will be recognized as exempt from Federal income tax under section 501(c)(3) of the Code so long as it is organized and operated exclusively for one or more of the purposes specified in section 501(c)(3). Educational purposes are among the purposes enumerated in that section.

Operating a program which facilitates the exchange of computerized scientific and/or educational information furthers educational purposes. Therefore, engaging in the activities described above will not adversely affect your status as an organization recognized as exempt under section 501(c)(3) of the Code.

A tax is imposed by section 511 of the Code on the income of exempt organizations derived from the conduct of an unrelated trade or business. Section 513 of the Code defines the term "unrelated trade or business" as meaning any trade or business the conduct of which is not substantially related (aside from the need for funds) to the performance of the organization's exempt function. Since the activities described above will contribute to the carrying out of your educational purposes, these activities are directly related to the performance of the function constituting the basis for your exemption under section 501(c)(3). Therefore, these, activities will not constitute the conduct of an unrelated trade or business and income derived from the activities will not be subject to the Unrelated Business Income Tax imposed by section 511 of the Code.

A copy of this letter will be furnished to your key District Director, Chicago, Illinois.

Thank you for your cooperation.

Sincerely yours,

Jeanne S. Gessay

Jeanne S. Gessay
Chief, Rulings Section 1
Exempt Organizations
Technical Branch

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Internal Revenue Service

Department of the Treasury

Washington, DC 20224

PRIVATE LETTER RULING 7816061

Southeastern Library Network, Inc.
130 Sixth Street, N.W.
Atlanta, Georgia 30313

Person to Contact:

Telephone Number:

Refer Reply to: E:EO:T:R:2-4

Date: JAN 20 1978

Gentlemen:

This refers to your August 25, 1977, letter wherein you ask us to rule that membership and activity fees paid by the libraries of certain profit corporations for computer-stored library cataloging services will not be treated as unrelated business income and that your inclusion of such profit corporation libraries in your membership will not affect your tax exempt status.

Our records show that you were recognized as exempt from Federal income tax under section 501(c)(3) of the Internal Revenue Code in a determination letter dated September 6, 1973, issued by the District Director, Austin. This was followed by a determination dated February 9, 1976, that you are not a private foundation since you are an organization described in Code sections 509(a)(1) and 170(b)(1)(A)(vi).

Your current purposes and operations, upon which our September 6, 1973, determination was based, encompass furnishing, at cost, the services of a computerized card catalog system to your member libraries in ten Southeastern states. You provide said services by means of a tie-in agreement with the Ohio College Library Center, which organization developed the particular cataloging and information storage system.

Your member libraries are presently all non-profit institutions both public and private institutions.

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Re: Southeastern Library Network, Inc.

You now propose to add libraries of certain for-profit corporations to your membership. The host corporations maintain the libraries to avail themselves of the latest research data in their particular field. Examples of typical libraries of this class include the transportation libraries of airlines and railroads, the chemistry libraries of soft-drink manufacturers and the accounting and banking libraries of large accounting firms. Since the great majority (84%) of your not-for-profit members are academic and major city libraries, the titles carried by such specialized for-profit libraries are of great interest to your membership. You advise that, although you do not directly facilitate inter-library loans among your members, the data base and information retrieval does make such exchanges much simpler and faster. You state that the direct benefit conferred upon all participating libraries is the broadening of the subject matter of the data base by the inclusion of highly specialized titles that may not ordinarily come to the attention of the not-for-profit libraries although many of these institutional libraries have a need for the volumes. You indicate that, besides apprising member libraries of the availability of such literature, the inclusion of catalogue data assures that, should a library purchase a particular title, no time would be lost in placing it upon the shelf nor would employee hours be wasted in preparing the cards and various indices.

Your for-profit members will not exceed five percent (5%) of your total membership.

The term "unrelated trade or business", taxes on which income are imposed under Code section 512, is defined by Code section 513(a) to mean any trade or business, the conduct of which is not substantially related to the excercise or performance by the exempt organization of its exempt purpose or function.

Such relationship is not established merely because the income produced from the business activity is used to finance exempt activities.

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Re: Southeastern Library Network, Inc.

The Income Tax Regulations at section 1.513-1(a), states three factors which must be present if the gross income from the putative unrelated trade or business is to be includable in the computation of the tax:

1. it is income from trade or business,
2. the trade or business is regularly carried on by the organization, and
3. the conduct of the trade or business is not substantially related to the organization's performance of its exempt functions.

As for the characterization of a "trade or business", Rev. Rul. 73-424, 1973-2 C.B., 190, found an organization which published a yearbook for its membership was engaged in unrelated business operations since it was "engaged in an extensive campaign of advertising solicitation "and thus was" conducting competitive and promotional efforts typical of commercial endeavors".

"Regularly carried on" has been defined at Regs. section 1.513-1(c)(1) to mean that they "manifest a frequency and continuity, and are pursued in a manner generally similar to comparable commercial activities of nonexempt organization." Generally, exempt organization business activities which are engaged in only discontinuously or periodically will not be considered to be regularly carried on if they are conducted without the competitive and promotional efforts noted in Rev. Rul. 73-424, cited above.

Of particular importance to this discussion is the concept of "substantially related" with reference to the purposes for which the organization was recognized as exempt. The production of goods or performance of services which generates the gross income in question must "contribute importantly" to the accomplishment of an organization's exempt purposes (other than through the production of income), according to Regs. section 1.513-1(d)(4)(ii).

Re: Southeastern Library Network, Inc.

Rev. Rul. 66-323, 1966-2 C.B. 216, states that a blood bank organized and operated exclusively for scientific purposes to provide a community with permanent facilities for the collection and storage of human blood and blood products and to provide for the public distribution thereof may be exempt from tax; however, the selling of blood and blood products to commercial laboratories is unrelated trade or business (emphasis added) since this activity was typical of commercial enterprises whereas the manner of dealing with public health institutions was not.

Rev. Rul. 74-116, 1974-1 C.B. 127, holds that an organization whose membership is limited to organizations that own, rent, or use a specific type of computer and whose activities are designed to keep members informed of current scientific and technical data of special interest to them as users of the computer is not exempt under Code section 501(c)(3).

① On the other hand, Rev. Rul. 74-614, 1974-2 C.B. 164 expresses the position that an otherwise exempt organization composed of exempt colleges and universities that devises, operates, and provides the organizational structure for a regional network of member owned or leased computers and to collect and disseminate scientific and educational information to exempt members' faculties and students is operated exclusively for charitable purposes and exempt under Code section 501(c)(3).

② In Forest Press, Inc. V. C.I.R., 22 T.C. 265, Acq., 1954-2 C.B. 4, the Tax Court held that an organization which was organized to prepare and publish a widely accepted system for indexing library collections was entitled to exemption under section 101(6) of the Internal Revenue Code of 1939, the predecessor to section 501(c)(3) of the 1954 Code.

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Re: Southeastern Library Network, Inc.

Rev. Rul. 74-146, 1974-1 C.B. 129, describes a non-profit organization of accredited educational institutions, whose membership includes a small number of proprietary schools, and whose activities include the preparation of accreditation standards, identification of schools and colleges meeting these standards, and the dissemination of accredited institution lists; it qualifies as an exempt organization under section 501(c)(3) of the Code.

The key issue raised here is whether the inclusion of a relatively small (5% or less) proportion of for-profit corporation libraries in your membership would alter the "substantial relationship" of the activity to your stated exempt purposes.

Since the method of dealing with the for profit members is exactly the same as that used for the public institutions, we must consider whether the mere fact that they are private commercial organizations is determinative.

A first reading of Rev. Rul. 66-323 might lead to the conclusion that the sales to commercial laboratory was unrelated primarily due to the fact that the laboratory was "for profit"; however, the organization is shown to conduct emergency blood-replenishment programs directly with the public as well as public informational and research programs in the same field. The sale of blood to commercial laboratories, on the other hand, furthers the private business interest of the laboratories and, most importantly, fails to promote public health in a direct manner, similarly to the other activities. Such commercial laboratory businesses do not have purposes similar to the organization since they are concerned primarily with sales, not public health per se.

The Forest Press case establishes that library cataloging is in itself, an activity which furthers education in the charitable sense of Code section 501(c)(3).

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Re: Southeastern Library Network, Incl

Similarly to the accrediting organization described in Rev. Rul. 74-146 above, you will include only a relatively small (5% or less of your total membership) number of proprietary institutions. The proprietary libraries' holdings will enhance your data base so that you will be better able to serve the public educational institutions which comprise the vast bulk of your membership. Your inclusion of the specified proportion of for-profit corporation libraries therefore furthers your primary educational purpose; as such it does not constitute an unrelated trade or business as defined in Code section 513(a) and the revenue received from the for-profit institutions is not subject to the tax imposed under section 513.

Please retain this ruling in your permanent records and associate it with your September 6, 1973, ruling. We are forwarding a copy of your key District Director for exempt organization matters in Atlanta, Georgia.

Sincerely yours,

(Signed) Jeanne S. Gessay

Jeanne S. Gessay
Chief, Rulings Section
Exempt Organizations
Technical Branch

"This document may not be used or cited as precedent. Section 6110(j)(3) of the Internal Revenue Code."

SECTION 0513
Unrelated v. Not Unrelated Trade or Business
-- Sales and Service to Public

DATE: September 24, 1979

REFER REPLY TO: * * *

Dear Taxpayer:

This is in response to your letters of January 25, 1977, and May 31, 1977, concerning the effect of certain activities described in a proposed amendment t your By-laws on your exempt status under section 501(c)(3) of the Internal Revenue of 1954 Code and the applicability of section 511 of the Code to such activities.

Our records indicate that you were incorporated under the laws of X on Apr 17, 1974, and were recognized as exempt from Federal income tax under section 501(c)(3) of the Code in a letter dated July 31, 1975.

Your Articles of Incorporation state that you were formed exclusively for t purposes of:

"Facilitating the sharing of information resources among the libraries of X; enhancing the availability of information resources to the citizens of the State of X; encouraging the libraries of X to institute such cost-effective practices and procedures which may be made possible through State-wide inter- library cooperation; and enabling the libraries of X to link up and interact with regional and national electronic bibliographical communications systems."

Your computer network enables your members, non-profit university and municipal libraries, to exchange information concerning the availability of books and other research materials.

The proposed amendment to your By-laws would permit you to extend your resource services to various private businesses. Inquiries have been receive from automotive, chemical, and pharmaceutical industries as well as banks and utilities.

Each profit-making institution will be charged the same fee as one of your members and will pay its actual share of common costs shared by members. It i estimated that between five and fifteen percent of your gross receipts will b generated from profit-making institutions.

Section 501(c)(3) of the Code provides, in part, for the exemption from Federal income tax of organizations organized and operated exclusively for charitable and educational purposes.

Section 511 of the Code imposes a tax on the income of exempt organization derived from the conduct of an "unrelated trade or business".

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Section 512(a) of the Code defines "unrelated business taxable income" as gross income derived by any organization from any unrelated trade or business (as defined in section 513) regularly carried on by it, less the deductions derived by this chapter which are directly connected with the carrying on of such trade or business both computed with the modifications provided in subsection (b)."

Section 513(a) of the Code defines "unrelated trade or business" as "any trade or business the conduct of which is not substantially related (aside from the need of such organization for income or funds or the use it makes of the profits derived) to the exercise or performance by such organization of its charitable, educational, or other purpose or function constituting the basis fo its exemption."

Section 1.501(c)(3) -1(c)(1) of the Income Tax Regulations provides that an organization is operated exclusively for the purposes set out in section 501(c)(3) of the Code only if substantially all of its activities are in furtherance of exempt purposes.

Section 1.501(c)(3) -1(d)(2) of the regulations provides that the term "charitable" is used in section 501(c)(3) of the Code in its generally accepte legal sense, which includes advancement of education.

Section 1.501(c)(3) -1(e) of the regulations provides that an organization may meet the requirements of section 501(c)(3) of the Code although it operate a trade or business as a substantial part of its activities, if the operation such trade or business is in furtherance of the organization's exempt purpose purposes and if the organization is not organized or operated for the primary purpose of carrying on an unrelated trade or business, as defined in section

513.

Section 1.513-1(d)(2) of the regulations provides that a trade or business "related" to exempt purposes only where the conduct of the business activities has a causal relationship to the achievement of exempt purposes, and it is "substantially related" only if the causal relationship is a substantial one. Thus, for the conduct of trade or business from which a particular amount of gross income is derived to be substantially related to purposes for which the exemption is granted, the production or distribution of the goods or the performance of the services from which the gross income is derived must contribute importantly to the accomplishment of those purposes. Where the production or distribution of the goods or the performance of the services not contribute importantly to the accomplishment of the exempt purposes of an organization, the income from the sale of the goods or the performance of the services does not derive from the conduct of related trade or business.

Revenue Ruling 74-614, 1974-2 C.B. 164, provides that an organization of exempt colleges and universities that devises, operates, and provides the organizational structure for a regional network of member-owned or leased computers to collect and disseminate scientific and educational information to exempt members' faculties and students is operated exclusively for charitable purposes and exempt under section 501(c)(3) of the Code.

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WE BELIEVE THAT IN MAKING YOUR INFORMATION DISSEMINATION SERVICES AVAILABLE TO PRIVATE INSTITUTIONS ON THE SAME BASIS, AND FOR THE SAME FEE, AS SERVICES AR PROVIDED TO YOUR MEMBERS YOU ARE SERVING YOUR EXEMPT PURPOSE OF DISSEMINATING USEFUL BIBLIOGRAPHIC INFORMATION TO RESEARCHERS. ALTHOUGH THERE IS SOME BENEF TO THE PRIVATE INSTITUTIONS SUCH BENEFIT IS INCIDENTAL TO THIS ACTIVITY AND, IN FACT, MAY BE SAID TO BE A LOGICAL BY-PRODUCT OF IT.

ACCORDINGLY, THE PROPOSED AMENDMENT TO YOUR BY-LAWS WILL NOT JEOPARDIZE YOUR EXEMPT STATUS UNDER SECTION 501(C)(3) OF THE CODE.

ALSO, THE PROVISION OF SUCH SERVICES IS AN ACTIVITY THAT CONTRIBUTES IMPORTANTLY TO THE ACCOMPLISHMENT OF YOUR EXEMPT PURPOSE. IN ACCORDANCE WITH SECTION 1.513.-1(D)(2) OF THE REGULATIONS, THIS ACTIVITY IS NOT, THEREFORE, UNRELATED TRADE OR BUSINESS, AND THE INCOME FROM THE ACTIVITY IS NOT SUBJECT TO THE TAX IMPOSED BY SECTION 511.

WE TRUST THAT THE FOREGOING WILL BE OF ASSISTANCE TO YOU.

SINCERELY YOURS,

(SIGNED) JEANNE S. GESSAY

JEANNE S. GESSAY
CHIEF, RULINGS SECTION 1 EXEMPT ORGANIZATIONS TECHNICAL BRANCH*

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*Source: LEXIS®, a computer-assisted legal research service provided by Mead Data Control. Reproduced with permission.

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I.R.S. PRIVATE LETTER RULING 8020048

LTR 8020048, February 20, 1980

Symbol: E:EO:T

[Code Secs. 501 and 513]

Exemptions from tax on corporations, certain trusts, etc.; Exempt v. not exempt; Religious, charitable, etc., institutions and community chest; Libraries, museums, etc.; National computerized holdings catalog serving exempt and nonexempt libraries.--CCH.

This is in response to your advance ruling request of January 3, 1980.

Our records indicate that you are an organization granted exemption under section 501(c)(3) of the Internal Revenue Code in January, 1953.

The information submitted indicates that you provide, for a fee that covers costs, consulting, training, and administrative services in connection with your members' participation in a national computerized holdings catalog. These services are not the routine administrative services of running a library. Presently, all of the members receiving the service are exempt organizations. You propose to extend the service to several non-exempt libraries, not to exceed 10 percent of your membership. These nonexempt libraries will be charged the same fees as any other member.

Section 501(a) of the Code exempts from taxation any organization described in subsection (c) of that section.

Section 501(c)(3) of the Code provides that "corporations and any community chest, fund, or foundation, organized and operated exclusively for religious, charitable, scientific, testing for public safety, literary, or educational purposes...no part of the net earnings of which inures to the benefit of any private shareholder or individual, no substantial activities of which is carrying on propaganda..." are organizations referred to in subsection (a).

Section 512(a) of the Code defines the term "unrelated business taxable income" as "gross income derived by any organization from any unrelated trade or business (as defined in section 513) regularly carried on by it, less the deductions allowed by this Chapter which are directly connected with the carrying on of such trade or business, both computed with the modifications provided in subsection (b)."

Section 513(a) of the Code defines the term "unrelated trade or business" as "any trade or business the conduct of which is not substantially related (aside from the need of such organization for income or funds or the use it makes of the profits derived) to the exercise or performance of such organization of its charitable, educational, or other purposes or functions constituting the basis for its exemption under section 501...."

Section 1.501(c)(3)-1(a)(1) of the Income Tax Regulations provides that in order for an organization to be exempt under section 501(c)(3), it must be organized and operated exclusively for one or more of the purposes specified in that

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section. If an organization fails to meet either the organizational test or the operational test, it is not exempt.

Section 1.501(c)(3)-1(d)(3) of the Regulations defines the term "educational", as used in section 501(c)(3), as related to:

(a) The instruction or training of the individual for the purpose of improving or developing his capabilities; or

(b) The instruction of the public on subjects useful to the individual and beneficial to the community.

Section 1.501(c)(3)-1(e) of the Regulations provides that an organization may meet the requirements of section 501(c)(3) although it operates a trade or business as a substantial part of its activities, if the operation of such trade or business is in the furtherance of the organization's exempt purpose or purposes and if the organization is not organized or operated for the primary purpose of carrying on unrelated trade or business, as defined in section 513.

Section 1.513-1(d)(2) of the Regulations provides that trade or business is "related" to the exempt purposes only where the conduct of the business activities has a causal relationship to the achievement of exempt purposes, and it is "substantially related" only if the causal relationship is a substantial one.

Revenue Ruling 74-614, 1974-2 C.B. 164, concluded that the regional library bibliographic network organization whose membership was limited to organizations exempt from taxation under section 501-(c)(3) was organized for and engaged in activities which advanced education, and since it was otherwise qualified, it was, therefore, exempt. It advanced education by providing a "coordinated program which enables the member institutions, including faculty and students, to benefit from the research and scientific projects developed by the various institutions . . ."

The composition and activities of the organization considered in the instant ruling closely parallels those of the organization discussed in Revenue Ruling 74-614, except for the presence of non-exempt libraries in the membership.

Revenue Ruling 66-323, 1966-2 C.B. 216, as modified by Revenue Ruling 78-145, 1978-1 C.B. 169, held that the provision of blood bank services for treatment purposes at or below cost to both non-profit and for-profit hospitals was related trade or business. The key factor in that aspect of the Ruling was that the provision of blood bank services for a fee was the organization's exempt purpose, even when the services were provided to non-exempt hospitals.

Your organization has been operated exclusively for exempt purposes because the computer network provides useful bibliographic information to researchers, faculty, and students, by which service education is advanced. The fact that the information will be provided to both exempt and a small group of non-exempt libraries does not change the nature of service. Any benefit to private interests is incidental to the educational activities.

The educational purpose of your organization is the dissemination of information to the widest possible consuming public. By making your services available to private libraries on the same basis as exempt libraries, for the same fee, you are serving your exempt purpose by providing additional useful bibliographic information to researchers, students, and faculty.

We conclude, therefore, that the proposed change in your operation will not affect your exempt status, nor will the income derived be treated as unrelated business taxable income.

Therefore, the proposed addition of non-exempt members to your system will not generate unrelated business income.

This ruling is based on the understanding that there will be no material changes in the facts upon which it is based. Any change in your procedures must be reported to your key District Director for exempt organization matters.

We are informing your key District Director of this action. Please keep a copy of this ruling with your organization's permanent records.

If you have any questions, please contact the person whose name and telephone number are shown in the heading of this letter.

IRS REVENUE RULING 81-29[b]

26 CFR 1.501(c)(3)-1: Organizations organized and operated for religious, charitable, scientific, testing for public safety, literary or educational purposes, or for the prevention of cruelty to children or animals.

Library computer network. A library network organization that operates a computer network to facilitate the exchange of bibliographic information among member libraries, some of which are not tax-exempt, may qualify for exemption under section 501(c)(3) of the Code; Rev. Rul. 74-614 amplified.

Rev. Rul. 81-29

ISSUE

Under the circumstances described below, does a library network organization that provides bibliographic information to member libraries, some of which are not tax-exempt, qualify for exemption from federal income tax under section 501(c)(3) of the Internal Revenue Code?

FACTS

The organization, which otherwise qualifies for exemption under section 501(c)(3) of the Code, was formed to assist academic research libraries, state libraries and agencies, and other library organizations in exchanging bibliographic information. The organization has developed a computer network to enable participating libraries to exchange bibliographic information.

The organization does not provide other services, such as routine administrative functions, to the member libraries. Membership includes libraries of colleges, universities, and historical societies, which are exempt under section 501(c)(3), and libraries of state and federal agencies. Libraries of business entities, which are not exempt from federal income tax, are also members of the organization.

Income is derived by the organization from each of the member libraries for cost of computer time used plus service charges.

LAW AND ANALYSIS

Section 501(c)(3) of the Code provides for the exemption from federal income tax of organizations organized and operated exclusively for charitable purposes.

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[b] Reproduced from 1981-1 International Revenue Cummulative Bulletin 329 (January-June 1981)

Section 1.501(c)(3)-1(d)(2) of the Income Tax Regulations provides that the term "charitable" includes the advancement of education or science.

Rev. Rul. 74-614, 1974-2 C.B. 164, holds that an organization that operates a regional computer network to assist its members in exchanging educational and scientific information is advancing education. The users of the system described therein are colleges and universities that are individually exempt from federal income tax under section 501(c)(3) of the Code.

The exempt status of the uses in Rev. Rul. 74-614 is merely one of the facts indicating that the organization is operated in furtherance of educational purposes. The organization's computer network is not used to accomplish routine administrative functions of the users, such as class scheduling, billing students for fees, processing admission applications, or other similar purposes. In this case, the computer network is also not used to accomplish such routine administrative functions of the users.

The computer network makes useful bibliographic information available to researchers and this advances education within the meaning of section 501(c)(3) of the Code and section 1.501(c)(3)-1(d)(2) of the regulations. The fact that the information is furnished to both exempt and nonexempt libraries does not detract from the educational value of the information itself.

Rev. Rul. 74-614 is amplified to reflect that an organization that operates a computer network to assist its members in exchanging educational or scientific information may qualify for exemption from federal income tax under section 501(c)(3) of the Code although some member users are not exempt from federal income tax.

HOLDING

Under the circumstances described above, a nonprofit organization that provides bibliographic information to member libraries, some of which are not tax-exempt, is operated exclusively for charitable purposes and qualifies for exemption from federal income tax under section 501(c)(3) of the Code.

APPLICATION INSTRUCTIONS

Even though an organization considers itself within the scope of this revenue ruling, it must file an application on Form 1023, Application for Recognition of Exemption, in order to be recognized by the Service as exempt under section 501(c)(3) of the Code. See sections 1.501(a)-1 and 1.508-1(a) of the regulations. In accordance with the instructions to Form 1023, the application should be filed with the District Director of Internal Revenue for the key district indicated therein.

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EFFECT ON OTHER REVENUE RULINGS

Rev. Rul. 74-614 is amplified.

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[¶ 6386] Rev. Rul. 81-29, I. R. B. 1981-4, 13.

[Code Sec. 501]

Exempt organizations: Qualification as: Library computer network.—A library network organization that operates a computer network to facilitate the exchange of bibliographic information among member libraries, some of which are not tax-exempt, may qualify for exemption under § 501(c)(3) of the Code; Rev. Rul. 74-614 amplified. Back reference: ¶ 3023.1531.

ISSUE

Under the circumstances described below, does a library network organization that provides bibliographic information to member libraries, some of which are not tax-exempt, qualify for exemption from federal income tax under § 501(c)(3) of the Internal Revenue Code?

FACTS

The organization, which otherwise qualifies for exemption under § 501(c)(3) of the Code, was formed to assist academic research libraries, state libraries and agencies, and other library organizations in exchanging bibliographic information. The organization has developed a computer network to enable participating libraries to exchange bibliographic information.

The organization does not provide other services, such as routine administrative functions, to the member libraries. Membership includes libraries of colleges, universities, and historical societies, which are exempt under § 501(c)(3), and libraries of state and federal agencies. Libraries of business entities, which are not exempt from federal income tax, are also members of the organization.

Income is derived by the organization from each of the member libraries for cost of computer time used plus service charges.

LAW AND ANALYSIS

Section 501(c)(3) of the Code provides for the exemption from federal income tax of organizations organized and operated exclusively for charitable purposes.

Section 1.501(c)(3)-1(d)(2) of the Income Tax Regulations provides that the term "charitable" includes the advancement of education or science.

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Rev. Rul. 74-614, 1974-2 C. B. 164, holds that an organization that operates a regional computer network to assist its members in exchanging educational and scientific information is advancing education. The users of the system described therein are colleges and universities that are individually exempt from federal income tax under § 501(c)(3) of the Code.

The exempt status of the users in Rev. Rul. 74-614 is merely one of the facts indicating that the organization is operated in furtherance of educational purposes. The organization's computer network is not used to accomplish routine administrative functions of the users, such as class scheduling, billing students for fees, processing admission applications, or other similar purposes. In this case, the computer network is also not used to accomplish such routine administrative functions of the users.

The computer network makes useful bibliographic information available to researchers and this advances education within the meaning of § 501(c)(3) of the Code and § 1.501(c)(3)-1(d)(2) of the regulations. The fact that the information is furnished to both exempt and non-exempt libraries does not detract from the educational value of the information itself.

Rev. Rul. 74-614 is amplified to reflect that an organization that operates a computer network to assist its members in exchanging educational or scientific information may qualify for exemption from federal income tax under § 501(c)(3) of the Code although some member users are not exempt from federal income tax.

HOLDING

Under the circumstances described above, a nonprofit organization that provides bibliographic information to member libraries, some of which are not tax-exempt, is operated exclusively for charitable purposes and qualifies for exemption from federal income tax under § 501(c)(3) of the Code.

APPLICATION INSTRUCTIONS

Even though an organization considers itself within the scope of this revenue ruling, it must file an application on Form 1023, Application for Recognition of Exemption, in order to be recognized by the Service as exempt under § 501(c)(3) of the Code. See §§ 1.501(a)-1 and 1.508-1(a) of the regulations. In accordance with the instructions to Form 1023, the application should be filed with the District Director of Internal Revenue for the key district indicated therein.

EFFECT ON OTHER REVENUE RULINGS

Rev. Rul. 74-614 is amplified.

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Special
Libraries
Association

235 Park Avenue South, New York, N.Y. 10003

212/477-9250

January 20, 1981

Rowland C. W. Brown
President
OCLC, Inc.
1125 Kinnear Road
Columbus, Ohio 43212

Dear Mr. Brown:

On January 14th and 15th, the Special Libraries Association/ National Commission on Libraries and Information Science Task Force on the Role of the Special Library in Nationwide Networks and Cooperative Programs met in Washington, D.C. (see attached membership list). The Task Force's mission includes identifying barriers to special library participation in networking activities nationally, regionally and at state and local levels and assisting in removing these barriers whenever possible. The views expressed in this letter reflect the concerns of the Task Force members, not those of the National Commission on Libraries and Information Science.

Thus far, we have identified several barriers to special library network participation. One is OCLC's current requirement that libraries using OCLC contribute all their current Roman alphabet online cataloging to the OCLC data base. While we can understand OCLC's desire to expand the size of the data base, we suspect that many special libraries are reluctant to join OCLC because of this requirement, and we suspect that some of those that have joined honor the rule only in the breach.

No network or utility can expect businesses to input into a public data base trade secrets, laboratory notebooks, or other proprietary information. Even the scope of collection development could be considered to be proprietary knowledge and therefore not to be divulged. Indeed, knowledge by one organization of the scope of special collections in another organization might diminish the competitive security of the latter organization. In addition libraries in organizations working with classified information cannot comply with OCLC's requirement.

We understand that the OCLC Board of Trustees' Committee on Participation is currently reviewing criteria for membership. We urge you to give the special problems of special libraries careful consideration.

We look forward to clarification of OCLC's current position on this matter and would welcome a response to our concern at your earliest convenience.

Yours sincerely,

Patricia W. Berger

Patricia W. Berger
Chair, SLA/NCLIS
Task Force on the Role
of the Special Library

James B. Dodd

James B. Dodd
President, Special
Libraries Association

6565 Frantz Road Dublin, Ohio 43017 (614) 764-6000 TWX 810-339-2026

Rowland C.W. Brown
President

1981 March 9

Ms. Patricia W. Berger
Chair, Special Libraries Association/
National Commission on Libraries and
Information Science Task Force

and

Mr. James B. Dodd, Jr., President
Special Libraries Association
235 Park Avenue, South
New York, New York 10003

Dear Ms. Berger and Mr. Dodd:

I owe you both an apology for not having acknowledged your letter before this, but I am delighted to be able to respond, albeit belatedly, in what I believe is a positive manner.

You had indicated that one of the several barriers to network participation by special libraries in OCLC was our requirement that a library must contribute all of its current Roman alphabet online cataloging to the OCLC data base as a condition to using the data base.

Obviously, the effectiveness of the system for OCLC member libraries including the library considering joining is that by the very commitment to share their cataloging they are making the catalogue more powerful and more cost effective for everyone. This, together with its size, quality, and the cost effectiveness of spreading fixed costs over a greater number of users, are fundamental to the system.

Having said that, however, it is not our intention to require any library, including special libraries, to contribute holdings which are considered proprietary or classified and would not be available for general research, lending, etc. We understand perfectly your concern not only about divulging proprietary information itself, but even revealing the scope of special collections in a manner which would diminish competitive security.

Please be advised, therefore, that our Board has specifically accepted the fact that we do not interpret the intent to withhold the calaloging of such materials as being in conflict with the requirement to calalogue all current holdings. We accept the judgment of the library and in effect place the burden of honoring in good faith the

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requirement to contribute all holdings other than those that would generally create security or completion difficulties for the library. Obviously, budgetary or economic considerations or other reasons one might choose to revert to searching without the obligation of contributing must not be permitted to enter these decisions or we will have severely impaired the viability of the system.

We trust that this removes this obstacle, and we hope that your members do not encounter others with which we cannot deal. The special libraries have an important place in OCLC, and we will be exploring various ways in the coming months to become more helpful.

Sincerely yours,

Rowland C. W. Brown
President

RCWB/fap

Chapter 5

NETWORKING BENEFITS, BARRIERS, AND CONSTRAINTS FROM THE SPECIAL LIBRARY VIEWPOINT - THE MYTHS AND THE REALITIES

CHAPTER OVERVIEW

The benefits, barriers, and constraints deriving to and from special library participation (or lack of it) in networks and cooperatives have been articulated in the literature and in seminars, workshops, and professional discussions for at least a decade. Whether the benefits outweigh the barriers and constraints is determined first by the network environments in which special libraries operate, and second, by the attitudes of special librarians toward networking opportunities and responsibilities. This Chapter will summarize the expressed rewards, opinions, and prejudices of those special librarians who participate in networking and those who do not. We will also describe the barriers and constraints facing both those who do and those who do not participate in networks.

BENEFITS TO SPECIAL LIBRARIES AND THEIR USERS

Numerous benefits accrue to all types of libraries which participate in cooperatives and networks. These include broadening of the network's resource base; improving access to information; distributing the burdens of interlibrary lending and borrowing; sharing materials processing costs and increasing materials processing efficiencies; stimulating information exchange; achieving cooperative purchasing discounts; and reducing information retrieval turnaround time. Our 1981 Survey of the Special Library Association membership showed that many special libraries participated in the larger networks and utilities and in local cooperative programs as well. The Task Force believes these latter probably provide the means for achieving discounts for library purchases, enhancing local document-delivery services, generating continuing education and training programs tailored to local needs, and developing area-specific directories and union lists. However, we collected no data to support our contention. A brief discussion of the benefits of both modes of cooperation follows.

1. Improving Access

The most immediate and obvious benefit of network participation is quick and relatively inexpensive access to a more comprehensive array of information resources. Because they provide the practical means for searching the records of thousands of library collections scattered throughout the country, networks offer greater information retrieval capabilities than those available from the traditional old-boy-old-girl affiliations. This is so primarily because networks provide vastly increased efficiencies in the identification, requesting and receipt of information and data and may provide as well an integrated, shared database which is constantly enriched by new records, making it far more valuable than the mere sum of its components would indicate.

2. Distributing The Burdens of Interlibrary Lending

Today, networking affords the librarian a cost-effective method for enhancing the quality, the quantity, and the efficiency of interlibrary lending and borrowing. Interlibrary lending and borrowing has long proved beneficial to library users throughout the country; it needs no rejustification here. It must be remembered, however, that special libraries are not public libraries. Therefore, they do not operate or behave like public libraries. For example, rarely can they encourage unrestricted outside access to their resources and services. Their primary obligation is to their parent organization and it is the needs of that organization which determine how much, if any, public access to the library is tolerable. Fortunately, computerized networking provides a means for providing off-site, public access to all or part of a special library's records and collections.

Most network interlibrary lending and borrowing programs depend on the member library to define the precise conditions under which collection access and interlibrary lending are possible. Such programs are particularly attractive to special libraries. In addition, when they are carefully crafted, they can provide some measure of relief to the large research libraries who lend a great deal more than they borrow. To remedy this uneven load, the Task Force suggests that state and regional networks consider adopting weighted message-switching mechanisms which would provide better balanced, more equitably distributed interlibrary lending among a wide range of libraries. In addition, weighted message-switching can be used to establish a mechanism for simultaneously repaying net lenders while taxing net borrowers for the burdens their interlibrary loan transactions generate.

3. Sharing Processing Costs

Using OCLC or RLIN, libraries of all types have substantially reduced or even eliminated both their cataloging backlogs and their need for in-house labor to prepare cataloging records and cards. In addition, the Utilities' databases provide quick, authoritative bibliographic verification on items to be purchased or borrowed and the automation of cataloging processes provides a means to reduce substantially the time, and therefore the labor and money, spent on such activity. This is especially attractive to special librarians because invariably, cataloging is a task which takes second place to information retrieval and document/data delivery.

4. Exchanging Information and Formulating Goals

Networks and cooperatives serve as forums for idea-exchange, problem-solving, resource-coordination, continuing education, and similar useful interactions among librarians and the institutions they represent. For the special librarian working in a one or two-person library, such opportunities are especially valuable. Equally important, networks provide structured opportunities for cooperation by all types of libraries, allowing special libraries of dissimilar or even competing organizations to meet and work together.

As a result of their networking experiences, many special librarians have changed their perceptions about their colleagues in other types of libraries and have altered their institutional behavior accordingly. Development of mutual understanding and compatibility throughout the library community is desirable, because it fosters the formulation of broad-based goals and activities which can be beneficial to a variety of libraries and their users. Indeed, the enhancement and expansion of nationwide library networking ultimately depends on sustained cooperation among all types of libraries.

5. Realizing Volume Discounts

Many networks and cooperatives broker for their members the online information retrieval services offered by such vendors as DIALOG, System Development Corporation and Bibliographic Retrieval Services. Frequently, networks achieve substantial dollar discounts for their members, because as the user volume increases, the cost-per-use decreases. Therefore, a group of network members placing one consolidated order can drive down unit costs for each participant. Cooperative purchasing also drives down automation costs. As a result, many small special libraries that cannot afford to purchase or house printed versions of expensive, voluminous abstracts and indexes are able to access them online via cooperative subscriptions to

DIALOG, ORBIT, BRS and similar services. Such enhanced reference capability cannot be duplicated at a comparable cost outside the networking environment. The net result is quicker, more comprehensive information retrieval for the special library patron and a decreased need to acquire, process and house paper copies of information resources.

6. Reducing Turn-Around Information Retrieval Time = Cost Avoidance

Online searching can isolate facts and data unidentifiable by any other method; can reduce the turn-around time it takes to retrieve information; can decrease the numbers of "dead-end" hunts for the right answer; and can increase both the librarian's and the requestor's confidence regarding the availability of material on a particular topic. In addition, time saved as a result of expert use of online databases equates to manhours saved and since staff salaries usually represent large library expenditures, finding the right information quickly is an important cost-benefit.

Vital information not recovered readily may lead to its costly regeneration at the laboratory bench. Such activity consumes time, thereby multiplying the costs of research and reducing measurably the competitive edge in the marketplace. While the costs associated with regenerating data may never appear as line items in the special library's budget, they represent comprehensible, undesirable "expenditures" to the library's parent organziation. Whenever a special library's participation in networking activities diminish such costs, both cost avoidance and increased productivity result, to the benefit of both the special library and its parent organization.

BENEFITS OF SPECIAL LIBRARY INVOLVEMENT TO OTHER LIBRARIES AND THEIR USERS

The benefits other libraries derive from special library participation in networking are many. Edward Strable's 1974 list to NCLIS continues to spell out the major ones very well indeed:

- "To share with their colleagues their knowledge of, and enthusiasm for, the information function — 'a tenacity in the pursuit of information.'
- To provide their own subject expertise to the data banks of networks. Many special librarians have special subject education; all special librarians are subject experts by experience.
- To serve as channels to the subject expertise of the personnel in their organizations. Special librarians have unusual access to 'people resources' and quite naturally and regularly tap this reservoir.
- To make available to networks sizeable holdings. A few studies of special library holdings have been undertaken; the most startling discovery has been the combined size of the holdings and their relative strength and importance.
- To provide access in depth to now-little-known specialized resources. Special libraries emphasize intensive analysis and use of small collections; they have developed bibliographic control over types of materials not found in other types of libraries.

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- To demonstrate that quick analysis of materials and provisions for use is necessary to excellent information work.

- To make unique collections available locally and nationally. It will inevitably be learned that some areas of information -- perhaps just small facets -- are most complete, carefully organized, and accessible in special libraries.

- To demonstrate that moving to a smaller unit of service can be effective in solving an information problem. All libraries, and particularly the large ones, must learn to access down, as well as up, the library ladder.

- By means of all the above, to help solve part of the problem of overuse of the large libraries.

- Through groups of special libraries in the same subject (e.g., chemistry), industry (e.g., advertising and marketing), or institution (e.g., museum), to provide experimentation in subject or discipline networking.

- To provide funds for the support of networks. In some instances this might be the most effective contribution of special libraries.

- To present a reasonable point of view concerning long term solutions to the photocopy/copyright problem. Because special libraries span the public and private sectors, their librarians represent most of the points of view about this problem.

- To serve as channels within the information community. The special library is the one type of library which can be found in all component parts of the information community. Perhaps the special library can serve a special purpose in helping this community to work together toward a common national goal." [1]

The reader is invited to return to Strable's list often, because it continues to provide an excellent description of the role of the special library in the networking environment. The Task Force believes that the content of this Report demonstrates that the role Strable ascribed in 1974 is a valid and realistic description today of the contributions special libraries make to the nation's networks.

BARRIERS AND CONSTRAINTS

For purposes of this discussion, the barriers and constraints to special library participation in networks will be divided into two categories, those which are imagined and those which exist.

1. Imagined and Exaggerated Barriers

Negativism appears to account for much special library reluctance to participate in formal networks. For example, there is the "nothing-but-the-flawless-will-do" attitude held by those special librarians who refuse to join networks until all "bugs" have been worked out. Networks are the creatures of mortals who, while regarding perfection as desirable, do not consider it attainable or even necessarily an appropriate operating goal. For this reason, it is highly unlikely the flawless network will ever be achieved. Therefore, it seems equally unlikely that network-phobes who demand perfection as a condition of participation will ever encounter a system or program they are willing to try. Unfortunately, no amount of sweet reason or coercion is apt to persuade this group to reconsider their position.

Some special librarians who responded to the Task Force's 1981 Survey of the SLA membership cited "lack of demand" as their reason for not participating in networks. Either those respondents have achieved a degree of self-sufficiency not yet attained by even the

Library of Congress, or else the levels and kinds of services they render their users are quite different from those offered by the networks. (For example, a newspaper library might find little of value in the OCLC cataloging data base.) It may also be that these SLA respondents are unaware of the advantages networks and cooperatives offer. We address this issue in Recommendation 5 of this Report.

a. Fear of Technology, Especially Computer Technology

Many attitudinal barriers are based on anxiety about the complexities technology invariably introduces. In particular, the computer is frightening to some librarians (as it is to many other people) because of its presumed potential for supplanting human endeavors. But when one acknowledges the degree to which computers presently pervade and order our lives and reflects on the additional aspects of our lives computers will permeate in the future, to deny their potential for better satisfying library needs seems shortsighted indeed. Such an attitude makes no more sense than presently favoring "library hand" over a word-processor.

Resistance to change is frequently rooted in fear of the unknown and the desire to maintain the status quo regardless of altered external conditions. Resistance to change can also result from an honest assessment that the present state of things is adequate now and can be expected to remain so in the future.

For some special libraries (for example, newspaper libraries) such a belief may be perfectly valid, given the limitations of today's databases and networks. For other special libraries however (for example, engineering and chemical libraries) such an attitude flies in the face of present reality. While the anxieties which derive from fear of change may be difficult to conquer, it should be remembered that the ultimate condition of no change is a state we call death - not a desirable state for a special library!

b. Fear of Excessive Demands

Some SLA librarians expressed concern that network participation could result in overwhelming outside demands on either their staffs or their collections, such that the library's usefulness to its parent organization could be impaired. It bears repeating that special libraries of many different types and sizes have joined networks and have cooperated with broad spectra of network-member libraries for years. They have yet to report frequent, inordinate, "outside" demands on either their library resources or their staffs; nor have they reported compromise of proprietary materials.

Other SLA librarians reported they hesitate to join networks fearing that large numbers of public users would expect frequent access to their facilities and collections. Agreed, special librarians need to establish in advance who it is they will serve, when, and where. But the "rape-by-high-school hordes" myth ought not to erect an unrealistic barrier to library cooperation. Well planned, well executed network rules and programs can and do preclude such scenarios from becoming realitites.

c. Fear of Lost Autonomy

The Task Force's SLA Survey revealed that some respondents feared that network participation would cost them loss of autonomy because of the "requirements imposed by networks." It is well to remember, however, that autonomy is reduced by any two-way relationship involving partnership and cooperation. All contracts limit the actions of the parties bound, but good contracts state clearly the terms and constraints of the relationship in ways designed to minimize the "swallowing up" of the parties contracted.

Librarians who participate in cooperative programs are not required to check-in journals online just because a network offers that service, nor are they obliged to use standard formats in their own catalogs just because they "catalog" via OCLC. To be sure, they must satisfy certain core requirements which bind all a network's members. Beyond those, however, they are free to choose, use or reject the products and services offered by a network. Finally, network participation does not preclude the use of manual searching techniques whenever the situation warrants, nor is network membership violated when a library cannot lend materials which for whatever reason must be restricted. Indeed, the state and regional networks and the national bibliographic utilities operate with member-defined network participation procedures.

d. Fear of Information Espionage - The Myth

The need to preserve company confidential/proprietary information was cited by 15% of those respondents to the Task Force's SLA Survey, who reported that their libraries did not participate in networks and cooperatives. It is entirely possible that company policy may dictate that NOTHING leave the library's premises; that confidential reports and laboratory notebooks be intershelved with the "open" literature; and that access tools to proprietary materials be integrated with those of the "open" resources. However, physical access to a library's collections is not a requirement for membership in most networks. Network members cooperate by mail, telephone and remote online hookups. The Task Force believes that physical access has little to do with the realities of networking for special libraries. Therefore the restricted premises issue ought not to influence unduly a special librarian's decision regarding network participation.

2. Real Barriers to Special Library Networking

On the other hand, there are very real barriers to special library network participation. These include the realities of information espionage, legal constraints, outside misperceptions about the nature of special libraries, funding problems, library size and collection limitations, and barriers imposed by the governance and membership requirements of the networks.

a. Fear of Information Espionage - The Realities

The Task Force was particularly sensitive to two additional dimensions of the information espionage issue. First, there is the question of how much information and data a corporate library of a competitive, for-profit organization can or should enter into a public database. This issue as it relates to the inclusion of the cataloging records of special libraries into OCLC's database is treated in detail in Chapter 2 of this Report. Therefore, we will only repeat here that the compromise position the Task Force and OCLC reached allows corporations and defense institutions to restrict release of certain information in order to avoid information espionage by competitors or adversaries, domestic or foreign.

The second dimension derives not only from the competitive nature of organizations engaged in the same enterprise but also from the character and capabilities of present library networks. It is best illustrated by example. Generally speaking, newspapers do not advertise or lend the content of their "morgues" to other newspapers, or for that matter, to any person not employed by them. In a very real, economic sense, today's news derives from leads and information developed at an earlier time. No newspaper shares such a "database" with its competitors. But even if newspapers were willing to open their background files, today's library networks and utilities could not accept and integrate those records because of the methods used to construct such files. To be sure, the full text of a newspaper story may be searchable online. But the "story behind the story," the background data in the morgue or library used to create it, is rarely if ever formatted in a standard fashion; therefore, it cannot be integrated conveniently or economically into the databases of most of our present networks. This example underscores the nonmonolithic character of special library resources and illustrates how difficult it is to generalize about the cooperative intentions of the special library community. Each special library's capacity to share its information resources is determined by the nature, inclination and information organization demands of its parent institution. As a result, some of those resources may be excluded from the nation's library networks for some time to come.

b. Legal Barriers to Networking

Chapter 2 discusses a number of legal barriers and constraints which control special library participation in networks. Particularly sticky and troublesome to special libraries and network directors alike has been the latter's concern that the nonprofit status of a network might be jeopardized if too many special libraries in for-profit organizations are permitted to join. It is clear that formal networking arrangements among public, academic, not-for-profit and for-profit special libraries in a not-for-profit network must be solved on a case-by-case basis. It is equally clear, however, that profit-making organizations pay the lion's share of the taxes used to finance the country's library networks. Viewed in this light, one could argue that it should be as easy or even easier for libraries of profit-making organizations to join networks than it is for libraries of other types of institutions to join. This and related legislative and legal issues are treated in Chapter 2.

c. Barriers Posed by a Communications Gap

A problem for the special librarian has surfaced as a result of special library participation in state and regional networks. A prominent academic librarian who has held key positions on network boards and councils believes that one reason why the needs and numbers of networked special libraries are often overlooked or underrated, is that most network directors were formerly employeed in either academic or public libraries. The Task Force believes that the unfamiliarity of many network directors with the special library environment is compounded by the tendency of some networked special librarians not to speak out regarding their needs, including the needs imposed by resource-sharing limitations. While we have no quick solution to this problem, we believe that alertness and sensitivity to it will help to bridge the communication and understanding gaps which presently exist between the parties.

d. Barriers Posed by the Environments and Orientation of Special Libraries

If a network is to succeed, the member-libraries must understand their roles and responsibilities and those of the other types of libraries in the network as well. Unfortunately today, neither the special librarian's work nor the imperatives of the special library environment are well understood by outsiders. For this reason, special librarians need to develop more effective means of communicating to their outside colleagues who they are, what it is they do, and how they do it. The task is compounded because many professionals in special libraries are subject specialists; they are far more oriented to the art and science of information and data generation and the techniques of complex, sophisticated information retrieval than they are to "library" matters, much less networking matters. Indeed, often such specialists are unaware that networking is relevant or even potentially useful. Strable has suggested that a special contribution of the special library community to networks is the provision of their "subject expertise." He may be right. However, such a contribution can only occur when the communications links between the subject-specialists in special libraries and the librarians in a network's other member-libraries are more fully developed. Otherwise, those best able to provide in-depth subject expertise and guidance may well remain outside the realm of network activity.

e. Funding Barriers

Both the presence and the absence of federal, state, or local network funding can generate networking barriers for special libraries. When legislation is accompanied by public funding, invariably it addresses those concerns which are broad and societal in nature, concerns which may or may not be pertinent to the information needs of the users special libraries serve. Moreover, in the past, network governance, and therefore control, has by and large been limited to public sector libraries. While this has provided proper "public" accountability for tax dollars spent, such orientation sometimes skews a network's plans and operations in ways which do not support the special library community's needs. For this reason, public network funding requires an especially activist special library constituency, to assure that network decisions strike appropriate, adequate balances among the needs of all members of the network and to avoid limiting network development and operations to only the needs of the public libraries which "govern" the membership. On the other hand, without public funding, networks may well be severely constrained in the numbers and kinds of programs they can offer. But with public funding, checks and balances need to be instituted to assure that the expansions and changes to a network's "menu" include a fair measure of what the entire membership needs, including the special library membership.

f. Library Size and Collection Limitations

Many special libraries are staffed by only one or two persons. Others house materials which cannot be conveniently assimilated by networks or collect materials of marginal interest to all but a very few specialized organizations and experts. While the one or two person special library staff could benefit from network membership, often they cannot be spared from their libraries to participate in network programs. In such circumstances, a local library network service center can sometimes act as an agent for clusters of smaller libraries, by providing labor to key in cataloging records, process interlibrary loan requests, and generally assume the role of the surrogate library staff.

The problems posed by "odd-ball" collections are not so easily remedied. We have mentioned the non-lending, non-networking characteristics of the newspaper "morgue" earlier. We would add here that unless and until library networks can assimilate indexing as easily as they assimilate cataloging today, or until they become more adept at the processing of information source (as opposed to record) referral transactions, a substantial number of very specialized libraries will not find it possible to participate in cooperative networking.

g. Governance Barriers

While it is true that special libraries cannot permit themselves to be accorded second class status in the nation's library networks, it is equally true that the non-profit, tax-exempt status of the country's library networks cannot afford to be vitiated by "openhanded" admission policies which fail to keep the network's memberships in "proper" (IRS) balance. A more comprehensive treatment of this issue is found in Chapter 2 of this Report.

ADDITIONAL OBSERVATIONS

If networks are to survive times of limited-to-no public funding, and if the services and products they offer are to remain stable, then it appears necessary for today's service charges to network members to increase measurably. The Task Force believes that ultimately, a network's stability will derive from the organization's ability to recover most if not all of its operating costs. For this reason, network members may need to pay higher service and membership charges in the future than they have in the past. This change should not pose great difficulty for most special libraries for two reasons. First, many of the existing cooperatives which include special library members are now self-sustaining or nearly so; second, most special librarians do not consider fee-based library service a social evil. Indeed, many special librarians have long wrestled with the problems of establishing equitable, realistic user fees. Indeed, fee-based service in both sectors of our society - public and private - is not without precedent. Public schools collect user-fees from students for the use of textbooks and school equipment and simultaneously collect tax dollars from parents and citizens for school support. For years, net lender libraries of all types have levied interlibrary loan charges. For example, a perusal of OCLC's list of interlibrary-loan suppliers indicates that throughout the country, academic, public, school, and special libraries routinely charge for lending materials to any or even all out-of-state borrowers.

The choices libraries, including special libraries, need to make about network funding are these: either underwrite the full costs of services in order to stabilize operations and retain relatively unfettered membership options about which services and products the networks should provide or else accept public funding and the myriad restrictions which accompany dispersement of such funds. Public subsidies encumber networks with the following responsibilities:

- keeping records of the specific ways the activity serves the public and the publics' educational interests

- lobbying for legislation to continue or enlarge public subsidies once they have been acquired

- abiding by restrictions on the character and composition of network membership and the governance of the network as well

While the Task Force believes the case for user-fee support of network operations is a strong one, the Task Force also recognizes that funding of research and development projects poses especially heavy financial burdens. Therefore many, if not most, of the networks may well continue to depend on outside funding to support such efforts; in the past, R&D dollars have come most often from public sources. While we do not suggest that outside funding for research and development is inappropriate or undesirable, we do recommend that the pros and cons of public funding be evaluated on a case-by-case basis. Over time, how such matters are resolved may well determine the degree of comfort and long-term benefits networks provide special libraries, especially the libraries of tax-paying, for-profit institutions.

References

[1] Edward G. Strable. "The Relationship and Involvement of the Special Library With the National Program. Paper of Amplification." Chicago, J. Walter Thompson Co., 1974. pp. 12-14. Unpublished paper, prepared for the National Commission on Libraries and Information Science.

Chapter 6

NEW AND EMERGING INFORMATION TECHNOLOGIES, THEIR PUSH-PULL ON LIBRARIES

CHAPTER OVERVIEW

Manfred Kochen has defined a technology as "a codified, communicable procedure for solving problems." [1] Technologies, he says,

> "develop in three stages. In the first, they enable us to do what we are now doing but cheaper, faster, better. In the second stage, they enable us to do what we cannot do now. In the third, they change our lifestyles." [2]

Library networking technologies presently do or else very soon will satisfy all three of Kochen's stages. Technologies, especially telecommunications technologies, enable networked libraries and their users to access both bibliographic records and resource materials housed in remote locations faster, cheaper, and therefore better than before. In addition, with proper governance and maintenance arrangements, networks enable libraries to do what they could not do in earlier times. For example, OCLC's special libraries can contribute to OCLC's MARC-formatted cataloging database while simultaneously (within limits) building less than full MARC cataloging records for the convenience and use of their local library the convenience and use of their local library patrons. Finally, future developments in mini- and microcomputer technologies, plus the expanded communications opportunities offered by the fusion technology of "compunication" will continue to alter in radical and diverse ways the habits and capabilities of most if not all American libraries.

It must be recognized, however, that while they continue to expand interlibrary cooperation opportunities, technological developments also persist in altering the structures, governances, and characteristics of present networks and their member-libraries. Technology provides more efficient ways both to access and to share resources; therefore it enables libraries to cope with two important, disparate phenomena, namely, choosing among an increasingly diverse array of information resources and dealing with the ravages resulting from the effects of inflation on library budgets. At the same time, technology introduces problems of its own. Complex questions of ownership of data and bibliographic records arise; equitable cost-sharing mechanisms must be devised; and appropriate, supportive network standardization and governance structures must be established and implemented. In addition, rapid technological change can, and frequently does, cause even the most carefully crafted networking arrangements to become quickly dated or even obsolete. Indeed, during the next few years, several of the presently emerging technologies may well alter or even curtail the centralized methods of library networking which are in common use today. Such changes would force reconfigured relationships among participants in national cooperative programs. Finally, participation in formal cooperative programs demands change in a library's view of itself, its understanding of its network role, and its interpretation of its obligations to other types of libraries and their users. This is so because success in networking depends upon relinquishing a fair measure of a library's autonomy -- a circumstance many librarians, especially special librarians, find hard to accept and harder still to implement.

The Task Force believes that four areas of technological advance will force major change on all libraries and library networks in the next few years. These include further proliferation of the databases and information services presently available; continued, volatile change in the computer and telecommunications technologies; rapid growth of the fusion compunications technology; and increasingly urgent requirements for practical, usable networking standards and protocols. In our view, improvements in the varieties of computer software and hardware available for library applications will present especially attractive networking opportunities to the special library community. Provided costs are controlled, telecommunications developments could expand both the kinds and capacities of data transmission systems available to library cooperatives and networks, and common standards and protocols for the formatting and transmission of information and data will provide increased interface capabilities between the networks and information users. We believe the combination of these factors could accelerate special library participation in certain types of networking activities by enhancing the special library's ability to provide its users rapid access to the latest information available on a given topic.

The Task Force recognizes that these four areas of technological change do not begin to address all the forces which are shaping library cooperatives and networks. Nor is our treatment of even these topics exhaustive. Instead, we intend to illustrate the kinds of opportunities and problems these technologies present special libraries. Our mandate was to examine the role of the special library in networks; therefore, we have limited our study to those facets of technology which have special significance for or impact upon the special library community.

DATABASES AND DATABASE SERVICES

The comprehensive bibliographic databases in use today are of two types, namely, those generated by a network's members, represented by the databases maintained by OCLC, RLG, and WLN; and databases generated by one or a few agents and maintained either by the agent(s) or by an external vendor such as DIALOG, SDC, or BRS. Library use of online databases is attractive primarily for three reasons. First, they provide cost-effective, enhanced information generation, retrieval, and manipulation capabilities which cannot be achieved manually. Second, they diminish geography by providing comprehensive and rapid access to data and information from widely dispersed libraries, information centers, document depositories, publishers, and abstracting-indexing services. Third, many database vendors also furnish additional capabilities for acquisitions, cataloging, and interlibrary loan work and supply document delivery services as well. Whenever database access is enhanced by the addition of either data or document delivery capability, it becomes especially useful to special libraries, because rapid, precise, comprehensive information retrieval and transfer becomes possible at a price most special libraries can afford. Indeed, it is no accident that the special library community was the first to begin comprehensive experimentation with and use of online databases. Special library experimentation and database exploitation continues today - at a level unmatched in other types of libraries.

A. Networks vs. Vendors for Local Applications

Like their colleagues in other libraries, special libraries are offered choices between the on-line acquisitions and circulation systems maintained by the networks and those maintained by commercial vendors. One advantage of the network choice is that whenever the acquisition and cataloging functions become integrated into a single database, the amount of record-keeping required for each function is markedly reduced. However, a major disadvantage of the network choice is that frequently, special libraries have had little to say regarding the architecture of network acquisitions or circulation systems. Formats, protocols, products, and services may well be geared to serve the interests and needs of the different kinds of libraries - interests and needs which may not be important or even useful to the special librarian. The Task Force believes that to the extent that the special library is not able to participate in the structuring of network systems and services, network design of "local" operations, such as acquisitions or cataloging, may prove unattractive to a substantial number of special library network members. While we have relatively little data to support our position, we believe this to be the case.

B. Database Access Through the Bibliographic Utilities, Network Service Centers, and Commercial Search Services

More than a decade ago, OCLC, Inc., was established by a group of academic libraries in Ohio to provide a centralized cataloging records database using large, mainframe computers.

> "These libraries recognized that by processing the Library of Congress machine-readable (MARC) tapes in Ohio, and by supplementing the MARC file with their own cataloging information, they could generated catalog cards more quickly, spread the cost of original cataloging by sharing one another's records, and so achieve economies of scale.
>
> This cooperative effort was possible only because the Library of Congress was already producing a machine-readable database of its cataloging information; computer hardware and software existed that could store and manipulate cataloging data; and cataloging data could be transmitted among participants over leased telephone lines." [3]

Because OCLC provided an attractive, cost-effective approach to automating information processing, both its membership and the database the members generate expanded rapidly as U.S. libraries of all types joined. Existing regional networks began to broker OCLC services for their members and new network-brokers were quickly organized throughout the country. In April, 1981, 2,565 libraries were participating in OCLC and contributing to its database. One of the apparent benefits derived from the OCLC database is the locator-information it supplies regarding who owns what material. However, this is not an unalloyed benefit. While it is true that online ownership information has increased the lending activity of most OCLC member libraries, it is also true that some members chafe under the obligation to lend materials to a group the size and diversity of the OCLC membership. In addition, requests for increased quality-control of OCLC's authority files and cataloging records persist, as do demands for subject access to the database and for a more integrated approach to database management.

In response to these dissatisfactions, the Research Libraries Information Network (RLIN) of the Research Libraries Group, Inc. (RLG) was formed. As the name implies, RLG was established primarily to accommodate the needs of the country's largest research libraries, such as those at Stanford, Columbia and M.I.T.; however, some special libraries belong to RLG.

While in the process of creating its database, the State of Washington's Library Network (WLN) placed heavy emphasis on good quality control and early subject access. Even though WLN's database is much smaller than OCLC's, its users are satisfied with their "hit" rates and the Utility's other services and products as well.

A fourth quasi-utility is the University of Toronto's Library Automation System (UTLAS) which will

> "run a user's file against four databases within its own files: the MARC tapes, the database of the National Library of Canada, Bibliotheque Nationale de Quebec, and the National Library of Medicine." [4]

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Many libraries in Canada and some in the U.S. and Japan are using UTLAS's services through a minicomputer link that provides both online inventory and circulation control. The Task Force did not include UTLAS in its 1981 Survey of the networks and utilities. Therefore, we are unable to report firsthand on its experience in serving special libraries.

State and regional networks are taking advantage of evolving computer and telecommunications technologies by developing new or expanded services for their subscribers. For example, minicomputers located in network service-centers serve as message concentrators between the center's member-libraries and one of the bibliographic utilities; in addition, minis are used to maintain local union lists and to provide mechanisms for interlibrary lending and borrowing. Service-center mini-processors can also be used to interconnect member libraries to more than one bibliographic utility. This is desirable at those times when items must be borrowed from "outside" libraries whose records are resident in another utility's database.

Our Survey of the networks and utilities provided evidence that special library membership and activity are both substantially higher than had been believed earlier. Of the 2,675 total member libraries reported by OCLC and RLG, 21%, or 558, are special libraries. Both utilities indicated that special libraries are heavy users of their cataloging services and products. OCLC reported that special library use of the interlibrary loan system was heavy; RLG indicated that such interlibrary loan activity was "limited." Both RLG and OCLC reported that special libraries' chief contribution consists of the cataloging records they enter into the common database all members access - a contribution identical to that of other types of networked libraries. Neither OCLC nor RLG reported limitations on their service to their special library members. Special libraries are free to subscribe to any, all, or some of their services and products and special libraries are eligible for election to the advisory boards and committees of both organizations. In the case of RLG, however, most special libraries are not eligible to participate in the governance of the utility because RLG members are limited to:

> "organizations which operate research libraries and are organizations described in I.R.C. Sec. 501(c)(3) and Sec. 509(a)(1) or (2). Otherwise they may participate through CLASS." [5]

RLG noted that special librarians can and do serve "on committees that are advisory to the President." [5] Despite this apparent disincentive to participation, it bears repeating that in 1981, 28% of RLG's "cataloging nonmember users" were special libraries.

While it remains our intention to focus on those networking influences which affect special libraries in special ways, we depart here to note that, more often than not, what characterizes the effects of network participation on special libraries is the singular, nonspecialness of their behavior in that environment. Like their

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colleagues in public, academic, and national libraries, special libraries are important to a network for precisely the same reason other types of libraries are important - because of the numbers and kinds of cataloging records they contribute to the common database. It appears then that, by and large, special libraries conform to the cataloging protocols and standards prescribed by the networks - otherwise, their records could not be effectively or economically integrated into a common database.

Only in the area of network governance are special libraries sometimes accorded different treatment. Our survey of the network directors and our review of network legislation and regulations produced evidence that, in some instances, special libraries are prohibited by law or regulation from joining a network; in other instances, they may be granted membership, but may find themselves barred from participation in the network's governance. The reader is referred to Chapters 2 and 4 of this Report for detailed discussions of this issue.

COMPUTERS

A. Mainframes and Centralized Processing

Today, most computerized library networks depend upon the centralized processing facilities of large computer installations which can be accessed from multiple remote sites by network users.

Maxi (or mainframe) computers enable users to enter or retrieve the records in a database and update or otherwise edit records online as well. Some systems also fulfill orders for additional products and services online.

Mainframe computers are expensive to own and to operate; they require sophisticated support staffs and duplicate, redundant machinery to assure continuing subscriber service in the event the main Control Processing Unit (CPU) fails. In addition, too many simultaneous users can overload a centralized system, thereby degrading its performance. Fortunately, the price/performance ratio of maxi computers continues to improve. In the near term, mainframe computers will continue to dominate large, centralized data processing operations. This is so because networking applications based on very large databases which require combinations of complex software, sophisticated support systems, extensive database record maintenance, and specialized, "tailored" product applications must rely on large computers which are best centralized in a single facility.

The chief advantage of centralized data processing is that it distributes among a system's users the heavy costs associated with hardware acquisition and software development, thus achieving economies of scale not possible for the individual subscriber. For this reason, most centralized search-service vendors and networks and all of the bibliographic utilities provide the hardware, software, and maintenance "mass" necessary to assure that their services and products are affordable by the individual library. Software development is labor-intensive and therefore expensive. Library software developmental costs have been particularly steep, because as a rule, software developed for other purposes rarely satisfy library needs. Much of the success of centralized networking is attributable to the cooperative funding by multiple libraries of expensive software development programs. Cooperative developmental funding holds down costs to the individual library and assures that software programs are written to be shared by large numbers of libraries. The success of network centralization also depends on the extent to which the network's services and products reflect accepted practices and standards in common use by all or most of a network's members. Altering programs to suit peculiar or individual library practices is rarely feasible because of the developmental costs discussed earlier.

It has been suggested that the reliance of the networks, utilities, and search services on common-denominator systems has discouraged some special librarians from becoming participants or subscribers. Some have argued that the advantages of sharing resources and systems are offset when a network requires its members to abide by prescribed standards even if these standards are not useful to the individual member; that adherence to standards and protocols runs contrary to the practice of special librarians. Indeed, they suggest that the very "specialness" of special libraries is rooted in their nonstandard manipulation of information to satisfy out-of-the-ordinary information needs of their users. In 1974, Edward Strable observed that:

> "All special libraries, whether in the profit making sector or not, have long followed traditions based on nonstandardization, unalikeness and uniqueness. Much has always been made of how well the special library eschews slavishness to the norms followed in other types of libraries, but rather chooses adoption or the creation of new techniques in order to meet the special needs of special clienteles." [6]

For these reasons, it is argued that most special libraries are unable or unwilling to conform to "national" standards and will, therefore, resist joining regional or national cooperative ventures. The Task Force's surveys did not support this point of view. On the contrary, the Task Force's 1981 Survey of the SLA membership indicated that adaptation to network norms has proved relatively painless for large numbers of special libraries, especially the special libraries in the federal government. Seventy-five percent (309 of 415) of the special librarians employed in federal libraries responded "yes" to the question:

> "Does your library/information center participate in formal cooperative programs, i.e., programs that involve structure, impose requirements for membership and require resource sharing?"

Of those, 51% reported that they use the services of either OCLC or RLG. In addition, 44% of the special librarians in the corporate-for-profit sector responded "yes" to the same question and 31% of them reported that they subscribe to either OCLC's or RLG's services. Librarians in the not-for-profit special library sector were evenly divided on this question -- 161 yeses, 162 noes, with 39% using either OCLC or RLG services.

Even the sizeable number of for-profit and not-for-profit SLA libraries (42% of 1920) who do not find it advantageous to participate in structured networks reported that neither the special library community's long history of nonstandardization, nor its frequently touted impatience with bureaucratic organizations or practices were major factors in their decisions not to join. Only 4% of all for-profit and private, nonprofit respondents to our Survey, reported that they declined to join because of "requirements imposed by networks."[7] Therefore, the Task Force does not believe that, today, compliance with network standards and protocols constitutes a major obstacle to special library involvement. There is too much evidence to the contrary.

The sharing of software packages, including large-system mainframe packages is widespread. For example, the Library of the Washington University School of Medicine designed and developed an online catalog and inventory control system for the use of special libraries in medical institutions. The system is of interest to other than health care special libraries however, because it integrates multiple library functions into a single computerized environment. The system uses MARC records obtained from OCLC, serials records obtained from the PHILSOM serials control network, and a patron records file. Products and services include an on-line public catalog and cataloging, a subject searching capability, circulation and online serials control.

The success of such subject-oriented prototypes has both positive and negative implications for the special library community. On the one hand, it could happen that a proliferation of subject-oriented, or mission-oriented, networks would enhance and extend information exchange capabilities. On the other hand, too many specialized networks may well decrease the incentive to contribute to the large centralized databases such as the one maintained by OCLC. Were participants in specialized networks to cease depositing their records into centralized databases, nationwide availability of documents and information would be seriously eroded unless reliable network interface mechanisms were already in place to accommodate cross-querying of both subject-specific and general, centralized databases. Barbara Markuson, Executive Director of the Indian Cooperative Library Services Authority (InCoLSA), has observed that:

> "We are in the midst of a library revolution as a result of computer-based networking and none of us can predict all of the impacts as change begets change in the evolution of network service." [8]

The Task Force agrees with that statement. Therefore, we are reluctant to predict precisely what changes in networking patterns could result from further proliferation of specialized, subject-specific networks. We observe, however, that subject-specific networks are the special creatures of the special library community and we believe that they will continue to multiply and flourish in the future. Therefore, they will, over time, modify the networking habits of all libraries, including those libraries whose present network participation is limited to the general, centralized, cooperative endeavors. The Task Force addresses this issue in the Executive Summary and Recommendations Section of this Report.

A unique resource-sharing cross-linkage capability is represented by WLN's willingness to allow (for a price) its software to be replicated. Were subject-specific networks to replicate some or all of the software presently available from the other major utilities and networks, cross-linking multiple databases could cease to be a major problem.

In the process of replicating a system like the WLN system, networks frequently develop enhancements to it. For example, the use of different types of terminals to support cataloging input and editing can make a system easier to use by a greater variety of libraries and their patrons. Therefore, future subscribers often enjoy the benefits of software enhancements without having first to underwrite the costs of software development.

B. Mini- and Microcomputers

The primacy of large-computer installations will continue to be challenged by more sophisticated and adaptable mini and microcomputers. Minicomputers are relatively inexpensive (ranging from $5000 to $50,000) and can be located at the point of use for dedicated applications. Minis offer local control, the capability to both modify and extend an off-the-shelf system, and the ability to tailor software applications to individual user needs. Moreover, minicomputers continue to grow more powerful and are, therefore, increasingly more able to perform the tasks formerly relegated to mainframes. Many libraries can afford to install their own minicomputer. This frees the library from the necessity to compete for reliable service on a mainframe controlled by somebody else. Local minis can support participation in outside networks and they can be used to access in-house databases as well. Minis are sometimes described as providing "windows" to outside information facilities and resources.

A well-known example of library minicomputer adaptation is "Maggie's Place," the Pike's Peak, Colorado, Library District's integrated system, which represents one of the most comprehensive minicomputer systems in an American public library. The Bibliotech Library System developed by Advanced Data Management is perhaps of greater interest to special libraries. The System is a series of software modules which can operate either separately or together. In the latter instance, the System provides a total library automation

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package, tailored for the needs of the special library. The System can function either on minicomputers or on larger machines.

The smallest computers in use today are the microprocessors; their acceptance and exploitation continue to expand rapidly. Microprocessors can function separately or as components of other computer hardware, such as hand-held calculators or "intelligent" terminals, such as OCLC's Models 100 and 105. The cost of micros is less than that of minis, and, with some exceptions, so is their performance capability. Undoubtedly, this will change as the technology changes. Many libraries are experimenting with micro applications for "housekeeping" uses or for delivering special services to their library users. While problems of reliability and difficulties in maintenance and servicing have been more common to micros than to minis, micros offer computing intelligence in a compact, economical form. Therefore, in the future, they will be seen in more, and more diverse library applications. Micros can aid in such operations as circulation, cataloging maintenance, pre- and post-processing of on-line searches, and electronic mail. For example, Computer Translation, Inc., sells two circulation systems which run on either the Apple II or Apple III micros and "offer small libraries basic circulation functions, statistical reports and automatic overdue notices at an affordable price." [9] While present uses of stand-alone micros to perform library tasks in series are few, micros are used freqeuently in conjunction with mini or mainframe computers to produce such integrated library systems.

As in the case of the maxis, more often than not, software for library applications for mini and micro systems must be developed from "scratch." Fortunately, such programs are generally smaller, less costly, and more nearly under a single user's control than are similar software programs developed for mainframes. On the other hand, the lack of common communications standards and interfaces among and between mini and micro systems continues to constrain their wider acceptance. As more powerful software systems are developed by the vendors, library networks, and individual library users, and as vendor support for existing programs improves, additional packages for multilibrary use should become available.

As of this writing (1981), the California Library Authority for Systems and Services (CLASS) offers two software packages for small libraries with special collections. Both use Radio Shack's TRS/80 Model II microcomputer. One package, called "Golden Retriever," handles searching and sorting of indexes, current awareness files, and catalogs and bibliographies. The other package, called "Checkmate," provides serials control processing.

"STAR," a software package available from Cuadra Associates in California, provides online database development and information retrieval capabilities. Tailored for the Alpha Microsystem microcomputer, the package enables a library to construct a catalog of substantial size or to record, index, or retrieve records of its

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technical reports, laboratory notebooks, and similar collections of "odd-ball" documents.

In summary, mini- and microcomputer costs are low enough and their performance is high enough to satisfy many local computing needs. But neither minis nor micros are sufficiently versatile or powerful yet to eliminate the need for the mainframe systems presently used for the bulk of interactive library networking traffic. Even though the decreasing costs of minis and micros make local automation of library functions attractive, the rising costs of books, journals, and people-intensive library tasks mandate continued reliance on the present large centralized databases enhanced by quick, cheap, and convenient cross-access to a greater array of distributed databases located throughout the country. Both modes appear necessary to support increasingly higher levels of online resource processing and resource sharing among the nation's libraries.

C. The Technology of Network Decentralization

Notwithstanding their current limitations, the next generation of mini and microcomputers may well be sufficiently powerful and versatile to pose formidable disincentives to the centralized library networking which is common today. This is so for two reasons. First, present micros and minis provide a cost-effective capability for tailoring a catalog, an information file or an authority list to the specific needs and requirements of a library and its primary clientele. Thus, the evolving technologies offer now and will continue to supply powerful inducements not to conform to networking standards and norms. Secondly, during the next 15 years, mini- and micro-computers may well beget substantial numbers of subject-oriented networks which may or may not be composed of various types of libraries. In addition, as the costs of creating optical digital videodisc masters decrease, groups of libraries may find it attractive to create large, subject-specific databases for use by a relatively restricted number of users. Such an alternative would reduce or even eliminate the substantial telecommunication charges a library presently pays for searching online a remotely located large database.

All three developments could prove especially attractive to the special library community, particularly to those special libraries which presently do not participate in centralized networking operations. In the next decade, the special library community may well spearhead a new round of cooperative programs, dependent upon local, subject or mission-oriented networks which provide both electronic mail and on-line computer conferencing capabilities; are supported by videodisc bibliographic and document delivery systems; and are indexed to satisfy local user needs.

Much of the technology for decentralizing exists now. Outside automation services are available for purchase by those libraries which, for whatever reason, can neither acquire their own computers nor join a centralized library network. For example:

- The Online Multiple User System (TOMUS), offered by Carlyle Systems, Inc., has the capability to support large regional databases. Libraries subscribing to this service need only have access to data terminals and telephone connections.

- Avatar Systems, Inc., stores a library's databases in its central computer facility, and provides system subscribers access to the software and file maintenance capabilities of their Integrated Library System (ILS). While it is now available commercially, ILS was developed by the National Library of Medicine's Institute for Biomedical Communications Research for the use of libraries in the federal government.

- The University of Toronto's UTLAS provides customers centralized processing of their bibliographic data, plus the capability to create the software required to handle certain library operations locally. Libraries which own minis or micros can select records from both commercially available online search services and their own machine readable records to build local files tailored to serve their users' needs and the needs of "local" networks of users and libraries as well.

The technologies of network decentralization can be expected to become more powerful and less expensive in the future. This fact, plus the responses to the Task Force's SLA Survey (that they hold over

500 memberships in local cooperatives) leads us to believe that the basic components are in place to stimulate smaller networking configurations geared to local and/or subject-specific needs. We also believe that many, if not most, special libraries will find participation in such networks attractive. It is difficult to know whether such networks will develop as complements, supplements, or additional components to the present state and regional library networks and national bibliographic utilities. Whatever their evolution, the Task Force believes that special librarians will figure heavily in the design, implementation, and use of these local, subject-specific computer-based networks.

D. The Local Cooperative

Because a substantial percentage of special libraries and their users are served by local cooperatives and because these cooperatives appear to be basic mechanisms for resource sharing and information transfer, these activities should receive a higher degree of recognition and support than they presently enjoy. Indeed, developing sound prospects for interlibrary cooperation depends in part on an understanding and accommodation of the characteristics of local cooperatives and the library related needs they serve. The 4th edition (1982) of The Report on Library Cooperation which is prepared by ALA's Association of Specialized and Cooperative Library Agencies includes statistics which at least aggregate what is going on at the local level. However, SLA needs to supplement ASCLA's data with data of its own obtained from periodic surveys of its membership. The role of the local cooperative is an important one. It ought to be recognized and supported in future interlibrary planning and legislation.

E. Communications in Library Networks

Computerized library networking depends on telecommunication links between a central facility and its users or among users in various types of cooperative configurations. Telecommunications links are themselves dependent upon telephone systems. Links can be established either through value-added networks (VANs) or via dedicated lines. VANs are especially useful for handling interactive traffic through computer systems. They operate with packet-switching and adaptive multiplexing (or concentration) techniques and they are ideal for terminal-to-computer traffic, where users sit at their terminals and transmit messages. VANs offer pay-as-you-go service; the user can pay on a volume-of-data basis, on a period-of-time basis or on a fixed-capacity basis. Charges are independent of distance, which makes VANs especially attractive for long-distance uses in distributed networks. Dial-up telephone links are useful for short-distance calls of limited duration. Leased dedicated lines are preferred for long-distance communications or wherever large, sustained volumes of information need to be transmitted. All of these means of linking users to centralized computer facilities are easy to use, reliable, and relatively inexpensive. While recent telecommunications advances have not resulted in dramatic cost reductions, packet-switched VANs like TYMNET and Telenet resolve problems of the compatibilities of computer codes and protocols, and provide adequate interface standards between terminals and "remake" equipment. However, problems of line "noise," which garbles data transmission, continue to plague the VANs.

The newer communication technologies of cable, fibre optics, satellites, and broadcast TV transmission are beginning to impact library networking. A number of experimental installations have been set up and demonstrated, but the required equipment at the receiver end (i.e., the library) of the communication link is generally not in place; therefore library implementation of these technologies is, at this writing, quite constrained. Once the equipment for these technologies is in place and generally available for the transmission of information in digital form, libraries should enjoy very fast communication capabilities, high transmission reliability, and, hopefully, lowered communications costs.

The biggest advance in the evolution of telecommunications is the switch from analog to digital modes of transmission for all types of communications, i.e., voice, facsimile, computer data, and television. Common-carrier dial-up facilities, leased lines, microwave transmissions, radio links, and satellite communications are all "going digital" and the costs of the newer digital circuits are markedly lower than the costs of the analog circuits which are currently in use. In addition, digital circuits minimize line "noise" problems. Such improved communications facilities will make facsimile (document) transmission, electronic mail, and teleconferencing even more attractive in the future.

Teleconferencing, cable TV links, and electronic mail can be exploited by multiple libraries in a single organization to link offices, branches or bureaus and to provide consistently high quality information delivery and service to an agency's users independent of their geographic locations. Today, electronic mail is used to facilitate interlibrary loan requests; in the future, improved communication facilities will increase the amounts and varieties of information which can be accessed online and introduce new modes for disseminating it as well.

More reliable communications links plus expanded teleconferencing facilities and enhanced electronic mail capabilities should enhance the special librarian's abaility to respond to outside demands for access to the library's resources. Improved communications links will furnish members of a library network more comprehensive and reliable access to the collections of special libraries throughout the country, thereby spreading the burden of interlibrary lending more equitably among the nation's libraries. Edward Strable has observed that special libraries can make a major contribution to national networking by demonstrating:

> ". . . that moving to a smaller unit of service can be effective in solving an information problem. All libraries, and particularly the large ones, must learn to access down, as well as up, the information ladder . . . (in order) . . . to help solve part of the problem of overuse of the large

> libraries. Special libraries can, and will, help share the load." [10]

The Task Force agrees with Strable's assessment. Moreover, we believe that both the value and importance of this special library contribution will increase as network communications capabilities and network interface protocols are enhanced and expanded.

COMPUNICATIONS

The Task Force recognizes the potential for fundamental change represented by the technology which has resulted from the "merge" of the computer and the telephone. Professor Anthony Oettinger of Harvard University has labelled this fusion technology "compunications" and has described it as:

> "the merger of computer and communications technologies. This technological convergence has thrust hitherto clearly distinct telephone, business machine, electronics and other industries together in one battlefield, with old and new customers as the prize . . . titanic battles continue to rage over the boundary--if there is any--between the telecommunications and teleprocessing functions and industries. These two worlds, building on a common base of compunications science and technology are as distinct or indistinct in their functions as are AT&T and IBM 'regulated' and 'free' enterprizes." [11]

In 1981, Kochen predicted that compunications will soon change "our lifestyles as few technologies have before." [12] He suggested that, eventually, the distinctions among information centers, media centers and libraries "will be blurred." [13] Indeed, he speculated that the "library may cease to be an institutional service unit" [14] and that a one-on-one relationship between information and its user could replace today's service units.

The Task Force believes that the sociological landscape of libraries is blurring now. One special librarian has observed that:

> "It is also possible that as the resources of America's libraries become fully disclosed via networks, the relationships between libraries will be so changed that the terms we use now to describe ourselves--terms like public, academic, research or special--may no longer fit, because they no longer convey the structure, governance or even the resource bases of aggregated libraries functioning through networks. . . . Technology is erasing the old chronologies and distinctions among us. In a very real sense, we are starting over to establish how we will serve an emerging information society." [15]

In addition, our Surveys substantiated that "chronologies and distinctions" among network libraries, including special libraries, are blurring rapidly. The fact that our SLA respondents rated cataloging -- of the sort long used and generated by school, academic, public and national libraries -- as the second most valuable service the networks provide them illustrates our point. The importance special librarians attached to this nonspecial service was corroborated by the directors of the networks and utilities. Thus it would seem that even though networking demands monitoring of cataloging quality and establishment of cataloging standards, the network's services and products are of sufficient value to special libraries to persuade them to drop or modify their "traditionally" nonstandard cataloging practices.

The Task Force recognizes the potential for compunications to change methods of information transfer so drastically as to render libraries obsolete as service units. In the case of special libraries, this could be especially significant for selected types of information. Except when legal considerations have dictated otherwise, historically, a special library's users have not cared very much about the form or format in which information is obtained or furnished. As a rule, users of special libraries are far more interested in how quickly specific, precise information can be identified and retrieved. If compunications upgrades this capability by enhancing a user's ability to manipulate and restructure information, it's potential for expanding all types of information services should prove attractive to those special library users who now rely on the limited, relatively restricted services and products provided by today's networks and database vendors.

However, the classes of information which are amenable to compunication manipulation may well remain limited by societal, legal, and regulatory restraints.

> "it is improbable . . . that over the next decade, authors and publishers en masse will cheerfully forego the distinction and security which accrue to our present practice of printing and binding enduring works for the relative insecurity of electronic . . . storage of their ideas and concepts. Videodiscs seem more likely candidates . . . for such information, and at no sacrifice to an author's ego. What will occur as a result of the shift from paper to other media is that the traditional distinction between 'published' and 'nonpublished' literature will degrade and ultimately disappear." [16]

This is not a trivial issue for those special libraries which serve institutions dependent on patents or engaged in regulatory or legal matters, because as laws shift to accommodate technological change, the kinds of information on which patents, laws, and regulations are based may also shift. We believe that the future value of a network or database to users of special libraries may depend upon how inclusive that network or database is of the body of information we presently label as "unpublished."

STANDARDS AND PROTOCOLS

As we have stated earlier, the success of centralized networking depends upon acceptance and use by a network's members of a prescribed set of standards and protocols. As cooperative and networking arrangements proliferate, the need for standardization at all levels continues to increase. Standard cataloging codes guide catalogers in choosing and expressing headings for items being analyzed and recorded; adherence to common standards by catalogers throughout the country makes possible the creation of databases of records with predictable form and content. When numbers of cataloging records are integrated into large computer-based files, standards are an absolute necessity, because computers cannot recognize ambiguities such as those arising from differences in spelling or variants in a single name.

A. MARC Format

The MARC format is the most pervasive world-wide cataloging standard in use today. It provides a single communications format while accommodating a wide variety of library needs. In an online interactive environment, network participants can comply with the full MARC format needed in a large centralized file while simultaneously creating a bibliographic record uniquely tailored to local needs.

Despite this capability of the MARC format to accommodate both sets of cataloging needs, the lack of quality control of new records entered into common databases continues to be a source of concern. In 1975, OCLC studied the need for cataloging records revision in order to enhance quality. As a result, the Internetwork Quality Control Council was formed to identify quality control problem areas, to distribute information concerning those problems and to suggest possible solutions. Since that time, OCLC has provided clear and precise information on records formatting requirements and the number of records needing revision appears to be decreasing. In the long run, however, the responsibility for complying with cataloging standards rests with the individual OCLC member libraries. Indeed peer pressure may well prove to be the single most effective means to insure quality.

B. Authority Files

A basic standard needed by all networked libraries is an integrated authority file, computer-based and available online. While its development takes time, patience, and effort, it is crucial to the integrity of large, online, interactive bibliographic systems. Authority control plus the sharing of authority data guarantee consistency among records and therefore improvements in information recall. Two projects supported by the Council on Library Resources (CLR) have addressed this problem. The first is the Name Authority File Service (NAFS), designed to replace the Library of Congress' Name Authority Cooperative effort. As of this writing, present plans call for NAFS to be built and maintained on RLG's computer system. The second project is the Linked Authority System Project (LASP), to be used in the implementation of NAFS. Working jointly, WLN, RLG, and LC expect to develop the technical capability to exchange authority data online and the procedures to carry out uniform authority work as well.

C. Computer-to-Computer Protocols

Standardization is also needed to provide for intercommunication among the different bibliographic networks and utilities. In 1978, an application-level computer protocol with rules for encoding the type of message transmitted between different computer systems, was designed by a joint NCLIS/National Bureau of Standards (NBS) Task Force. That protocol is now the basis for a national standard which is being developed by the American National Standards Committee (ANSC) Z-39. It should be noted, however, that the NCLIS/NBS Task Force

> "specifically recommended that acquisition and circulation control be handled locally by turnkey systems . . . no provision (is provided) for interfacing these systems with one another or with any emerging national network." [17]

Boss and McQueen also reported that the Canadian Computerized Bibliographic Centre Study which was conducted by the National Library of Canada concluded that

> "It might be . . . unrealistic to attempt a high level of standardization in a field that includes a growing number of private-sector organizations . . . a number of incompatibilities . . . cannot easily be standardized" [17]

Commenting on both the NCLIS/NBS and the Canadian efforts Boss and McQueen observed that

> "the two national efforts to develop protocols . . . are of little help to libraries attempting to interface turnkey systems . . . the thrust . . . is to focus national efforts on the linking of shared-cataloging systems." [17]

A standard user command language is also needed, so that users of one system can access another system without having to learn a second set of system commands. There are two possible ways for accomplishing this: either standardize log-on log-off procedures for all systems, or else provide an interface from, for example, DIALOG to SDC's ORBIT.

Throughout the 1960s and early 70s, on-line access to the information resources or services offered by one vendor were often not available through the facilities or equipment offered by another. For example, until very recently, membership in OCLC did not provide a library the communications capability necessary to search "outside" files such as those maintained by DIALOG, BRS, SDC, or the New York Times. This condition is changing. Today, OCLC provides an Affiliated On-Line Services Program which provides its subscribers access to such external resources and services using OCLC equipment.

D. MARC vs. COSATI; ASCII vs. EBCDIC

All librarians, including special librarians, would be better served if all cataloging, abstracting, and indexing systems and products used a single set of bibliographic standards and formats. Such is not the case. For example, the MARC record format is not used in many of the larger and older indexing services and databases. Instead, the COSATI format is the norm for most databases of technical reports. Therefore, the library community must work with two disparate cataloging formats, namely, MARC and COSATI, for both recording and retrieving bibliographic data. This will not change in the short run. However, there are efforts within the federal library and document depository communities to develop a single set of data elements which would be standard to both formats.

The problem of adherence to a single set of standards within or between systems is further compounded by the increasingly wide-spread use of mini and microcomputers for local library applications. As a result of their use, increasing numbers of library computer tapes will be "written" in ASCII. ASCII cannot be translated with complete accuracy into EBCDIC and EBCDIC is used on most IBM Mainframe Computers. Writing in the May, 1981, issue of IEEE's Spectrum, Eric J. Lerner observed that:

> "The underlying problem . . . (with) . . . standards is the conflict of interest between users and producers of computing equipment . . . users are . . . interested in . . . maximum . . . compatibility among products (while) producers want to maintain their own designs . . . A good example of the incompatibility is IBM's defense of its enormous installed base of the EBCDIC format for character representation, which does not conform to the ASCII standard used in the mini- and microcomputer fields." [18]

On the other hand, Carlos Cuadra of Cuadra Associates has observed that while some ASCII characters may not be defined yet in EBCDIC "many folks do ASCII-EBCDIC conversions regularly and routinely without problems of any consequence." [19]

E. Videodiscs

Finally, it should be recognized that librarians may well experience future difficulties and expense as the result of the unstandardized developments which characterize present growth in the videodisc industry. Today, information is being digitally encoded on videodiscs using a variety of different and frequently incompatible technologies. Sharing videodisc files in the future may well depend on a library's ability to pay the high costs of records conversion from one system to another.

F. BISAC Format

That's the bad news. The good news is that in other areas, positive steps have been and are being taken. For example, OCLC, WLN, CLSI, and Dataphase have agreed to use the Purchase Order Communications Format developed by the Book Industry Systems Advisory Committee (BISAC). The BISAC Format will be incorporated into the design of the on-line acquisitions systems offered by all four organizations. The Format uses both the ANSI/ISO International Standard Book Number (ISBN) and ANSC Z39's Standard Address Number (SAN). While today, most purchasers and vendors using the BISAC Format exchange tapes through the mail, eventually, the Format will facilitate large-scale computer-to-computer ordering. Because it is based on two widely-accepted national and international standards, any library using the Format can limit its on-line orders to a vendor or publisher for a book to the appropriate SAN, the number of copies wanted, the book's ISBN, and the necessary billing/invoicing data.

Developments like the BISAC Format do not just occur. They require a sustained commitment to the creation, implementation, and adoption of interrelated standards, designed to facilitate more economical and widespread use of existing and emerging technologies. For this reason, the Task Force believes it is imperative that both SLA and NCLIS continue their support of the activities of ANSC Z-39. Z39's programs are designed to produce the fundamental standards and protocols necessary for widespread, multi-type library networking and allied forms of resource sharing.

V. Final Observations

If networks and cooperatives are to serve their users effectively, then the library community must continue work on the resolution of such networking issues as third party use of data or information resident in cooperative files; questions regarding the ownership of contributed records to centralized databases; equitable cost-sharing mechanism for various classes of subscribers to a utility; establishment of realistic royalty fees for the use of secondary search services; and enforcement of consistent and precise use of standards and protocols. Success in these areas will assure continuing progress toward comprehensive interlibrary cooperation, based on systems and services which satisfy the demands of the country's libraries and their users.

Special libraries have an obligation to networks to assure that future mini- and micro-based subject-specific networks are designed so as not to jeopardize the stability and strength of the centralized networks and utilities. To combine the strengths of the larger networks and utilities with the advantages of the smaller, limited networks would provide an exemplary application of technology and would render an immense service to the entire library community.

References

[1] Manfred Kochen, "Technology and Communication in the Future." Journal of the American Society for Information Science, vol. 32, no. 2, March, 1981, p. 148.

[2] Ibid.

[3] Barbara M. Robinson, "Cooperation and Competition Among Library Networks." Journal of the American Society for Information Science, vol. 31, no. 6, November, 1980, pp. 413-414.

[4] Robinson, op. cit., p. 421.

[5] RLG Response to the Task Force's Networks Survey.

[6] Edward G. Strable, "The Relationship and Involvement of the Special Library With the National Program. Paper of Amplification for the National Commission on Libraries and Information Science." Chicago, Illinois, J. Walter Thompson Co., 1974, p. 5.

[7] Only 11% of the SLA for-profit sector nonjoiners (72 of 652) and 4% of the not-for-profit sector nonjoiners (6 of 162) reported they declined to join because of "requirements imposed by networks." When the federal sector nonjoiners are added, the percentages remain modest: 4% of the total respondents (83 of 1920) and 8.5% of the total nonparticipants (83 of 924).

[8] Barbara E. Markuson, "Revolution and Evolution: Critical Issues in Library Network Development." Networks for Networkers: Critical Issues in Cooperative Library Development, ed. by Barbara E. Markuson and Blanche Woolls. New York, Neal-Schuman, 1980, p. 5.

[9] Richard W. Boss and Judy McQueen, "Automated Circulation Control Systems." Library Technology Reports, vol. 18, no. 2, March/April, 1982, p. 185.

[10] Strable, op. cit., p. 13.

[11] Anthony G. Oettinger, et. al., High and Low Politics: Information Resources for the '80s, Cambridge, Massachusetts, Ballinger Publishing Co., 1977, pp. 89, 91-92.

[12] Manfred Kochen, op. cit., p. 148.

[13] Ibid., p. 155.

[14] Ibid., p. 155.

[15] Patricia W. Berger, "Managing Revolutions: Coping With Evolving Information Technologies." Special Libraries, vol. 71, no. 9, September, 1980, pp. 391-392, 397.

[16] Berger, op. cit., p. 388.

[17] Richard W. Boss and Judy McQueen, op. cit., p. 162.

[18] Lerner, Eric J., "Microcomputer Standards: Weighing the Pros and Cons," IEEE Spectrum, vol. 18, no. 5, May, 1981, p. 48.

[19] Letter from Carlos Cuadra to Patricia W. Berger, August 1, 1983.

Chapter 7

RECOMMENDATIONS IMPLEMENTATION SCHEDULE

The following Implementation Schedule for our Recommendations was adopted from a similar schedule developed by David Bender, SLA's Executive Director. It was used by the SLA Officers and Board of Directors during their June, 1983. review of our Report. The full text and discussion of each Recommendation will be found in the EXECUTIVE SUMMARY AND RECOMMENDATIONS Section of this Report.

Key:

AALL - American Association of Law Librarians
ALA - American Library Association
NAC - Network Advisory Committee (Library of Congress)
NCLIS - National Commission on Libraries and Information Science
SLA/NC - Networking Committee, Special Library Association

RECOMMENDATIONS	TIME	GROUP RESPONSIBLE
THE EVIDENCE OF SPECIAL LIBRARY PARTICIPATION		
Recommendation 1: ". . . SLA Networking Committee . . . undertake a pilot study to determine precisely what needs . . . (local cooperatives) . . . satisfy . . . . If (they) . . . are substantial . . . . SLA should work with NCLIS to assure that future state or national network legislation . . . do not stifle efforts successfully supplied at the local level."	Within three years	SLA/NC SLA Chapter Pres. NCLIS
Recommendation 2: ". . . SLA Networking Committee . . . (conduct) biennial updates of SLA participation in networks and cooperative programs. The results . . . should be furnished to NCLIS . . . and published in Special Libraries . . . ."	Within the next year	SLA/NC

RECOMMENDATIONS	TIME	GROUP RESPONSIBLE
Recommendation 3: ". . . SLA's subject-oriented Divisions place increased emphasis on tracking and encouraging networking activities by all special libraries . . . in the Division's fields of interest."	Division Committees - within next year Report to SLA/NC at least every 2 years	SLA/NC SLA Divisions
THE EVIDENCE OF SPECIAL LIBRARY NONPARTICIPATION		
Recommendation 4: ". . . representatives from NCLIS, SLA, and the nation's networks convene meetings of senior management officials from for-profit and not-for-profit organizations and government agencies to discuss ways to increase . . . resource and information sharing."	Convene meetings within next 3 years	NCLIS SLA NAC
BENEFITS, BARRIERS, AND CONSTRAINTS - THE MYTHS AND THE REALITIES		
Recommendation 5: ". . . SLA . . staff (should) design and conduct a . . . course to acquaint Association members with the roles, duties and responsibilities of network members; the services and resources available . . . the contractual obligations a network and its members share; and the names, locations, costs, and membership requirements of selected . . . networks and cooperatives . . . ."	Within the next year	SLA Staff
Recommendation 6: ". . . NCLIS and SLA develop legislative incentives . . . to stimulate network access and use by the small special libraries . . . NCLIS and SLA (should) . . . insure that the needs of this group of . . . libraries are addressed in future library legislation."	Immediately and periodically as needed	NCLIS SLA

RECOMMENDATIONS	TIME	GROUP RESPONSIBLE
Recommendation 7:		
a. " . . SLA staff and legal counsel be available to consult with any nonprofit network or cooperative which needs assistance in obtaining IRS clarification concerning the appropriate percentage of for-profit member libraries in the network."	As soon as possible	SLA Staff AALL
b. "SLA and the . . . (AALL) . . . form a . . . committee to collect, monitor, summarize and publicize future legal rulings . . which may impact special library . . . participation in networks and cooperatives. The Task Force recommends that this joint committee report new developments or changes regularly to the membership of AALL, SLA and . . . NCLIS . . the joint committee (should) prepare an action plan to provide better national documentation of future IRS decisions."	As soon as possible	SLA AALL
c. "SLA's Board of Directors work closely with the Association membership to help reconcile legal or regulatory problems the members encounter . . . in library networks . . . . The Board should communicate the results of its efforts to the membership and to NCLIS whenever the problem appears to be either one which might affect other libraries or networks or one which requires legislative remedy."	As soon as possible	SLA Board
d. "SLA's Board of Directors establish an Association award for the local, state, regional or national formal cooperative program . . . most hospitable to special libraries	Within 2 years	SLA Board

RECOMMENDATIONS	TIME	GROUP RESPONSIBLE
e. "Representatives from SLA's Board of Directors, the Association staff, and the Networking Committee work with NCLIS and the Washington Office of . . . (ALA) . . . to support adequate funding and precise language for all interlibrary cooperation legislation."	Periodically as needed	SLA Board and Staff NCLIS ALA
THE PUSH-PULL OF TECHNOLOGY		
Recommendation 8: ". . . SLA Networking Committee monitor . . . network decentralization and recommend to SLA and NCLIS actions needed either to support these developments which appear to be beneficial to national resource access or to ameliorate any adverse impacts resulting from further decentralization of regional and national databases."	Within 2 years	SLA/NC
Recommendation 9: ". . . SLA and NCLIS be prepared to accommodate the evolving genre of subject networks in . . . future plans for increasing library resource sharing activities. To the extent that subject networks could constitute a threat to the large, centralized . . . databases in use today . . . SLA members . . . have an obligation to the rest of the information community to assure that any new programs for which they bear responsibility do not cripple existing cooperative programs."	Within 2 years	NCLIS SLA
Recommendation 10: "In order to eliminate impediments to information sharing . . . the SLA Networking Committee (should) act as an advocate and advisor to affected SLA members whenever compromises of operational or membership requirements need to be negotiated with networks, utilities or cooperatives."	Periodically as needed	SLA/NC

RECOMMENDATIONS	TIME	GROUP RESPONSIBLE
Recommendation 11: ". . . Chairmanship of the SLA Networking Committee and SLA's representative to the . . . (NAC) be rotated every 2 years among the corporate-for-profit, private-not-for-profit and public agency components of the Association."	Every 2 years during rotation cycle of the SLA/NC and the NAC	SLA President
FUTURE NETWORK IMPLEMENTATION NEEDS		
Recommendation 12: ". . . NCLIS and SLA undertake a legal review of the implications of the antitrust laws as they relate to future subject-oriented library networks configurations . . . NCLIS and SLA (should) develop and publish antitrust guidelines to assist networks and cooperatives in their planning for new . . . products and services."	Within 4 years	NCLIS SLA
Recommendation 13: ". . . the Board of Directors of SLA set up a committee to review the statistics the Association collects in order to improve data collection, reporting, and member profiling activities."	Immediately	SLA Board

APPENDIX I

NCLIS/SLA Task Force Survey Instruments

SURVEY OF NETWORKING IN SPECIAL LIBRARIES/INFORMATION CENTERS

1. What kind of library/information center do you work in? (Circle the one category that best describes your organization.)

   a. Corporate for profit
   b. Private non-profit
   c. Government/public agency

2. Does your library/information center participate in formal cooperative programs, i.e. programs that involve some sort of structure, impose requirements for membership, and require resource sharing? (Circle one.)

   a. YES (If so, please answer questions 3, 4 and 5.)
   b. NO (If so, please go to question 5.)

3. In which of the following does your library/information center participate? (Circle all that apply.)

   a. AMIGOS
   b. CLASS
   c. CAPCON
   d. FEDLINK
   e. NELINET
   f. ILLINET
   g. OHIONET
   h. OCLC
   i. RLIN
   j. WLN
   l. PALINET
   m. SOLINET
   n. Other (Please specify and describe.)

4. What services does your library/information center obtain through cooperative networking arrangements? (Circle all that apply.)

   a. Cataloging
   b. Interlibrary loan
   c. Electronic mail
   d. Acquisitions
   e. Procurement of equipment
   f. Procurement of data base services
   g. Union lists of member collection resources
   h. Other (Please specify.)

5. Why does your library/information center NOT participate in formal cooperative programs? (Circle all that apply.)

   a. Lack of funds
   b. Lack of demand
   c. Lack of knowledge of appropriate networks
   d. Requirements imposed by network (Please specify.)

   e. Restrictions imposed by parent organization (Please specify.)

   f. Other (Please specify.)

NAME OF RESPONDENT: ______________________

NAME OF INSTITUTION: ______________________

Please return by April 1, 1981 to:

Jim Webster
State University of New York at Buffalo
Science & Engineering Library
Buffalo, New York 14260

We need your help! I hate filling out forms too, but please make this one the one that you complete!

In considering the role of special libraries in nationwide networks, the NCLIS/SLA Task Force has found an information gap. Much information is readily available on the status of special libraries located in academic, public, medical and law institutions. However, we have no current information on the cooperative activity of libraries and information centers located in the for-profit (tax paying) and the not-for-profit (tax supported) sectors existing outside of these four types of institutional settings. SLA members form a good cross-section of this "invisible" constituency. We want to focus on your concerns, since those of the academic, public, medical and law libraries are already adequately being considered by existing organizations dealing with formal networks. We need your help, and we need it quickly. Please stand up and be counted by completing the enclosed SLA Chapter survey.

We don't expect statistically relevant results, but we must have a sense of "where you're at" and "why" in utilizing existing formal cooperative programs. Consider this your opportunity to become visible so that your future needs can be considered.

For our purposes, "formal cooperative programs" are those that involve an organizational structure, impose specific requirements for membership, and require some form of resource sharing. We'd like to get one response from each institution or organization, even though a number of you may be SLA members.

Thank you so much for your cooperation. Survey results will be made available to you.

Mary Lou Kovacic
NCLIS/SLA Task Force
Working Group on Constituencies

NCLIS/SLA Survey of Network Directors 7/81

James H. Kennedy
Executive Director
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245 Columbine, Suite 212
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Executive Director
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Darrell Lemke
Capital Consortium Network (CAPCON)
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Albany, New York 12246

Robert Payne, Director
Washington Library Network (WLN)
Washington State Library
Olympia, Washington 98504

Nancy H. Marshall, Director
Wisconsin Library Consortium (WLC)
University of Wisconsin - Madison
464 Memorial Library
728 State Street
Madison, Wisconsin 53706

UNITED STATES DEPARTMENT OF COMMERCE
National Bureau of Standards
Washington, D.C. 20234

13 July 1981

Dear Executive Director:

At its initial meeting in October, 1980, the NCLIS/SLA Task Force on the Role of the Special Library in Nationwide Networks and Cooperative Programs adopted the following Mission Statement:

> "Given the present state of access to information (including access via Networks) the Task Force will describe, delineate and clarify the benefits from and to special library participation, and the constraints which inhibit such participation in nationwide programs of library and information services. The Task Force will develop a plan of action for appropriate institutions and agencies."

In January, 1981, members of the Task Force voted to conduct a survey of the Special Library Association's membership in order to determine the present status and level of special library participation in state, regional and national networks and cooperative programs. Our survey sample included special libraries in Federal, state and local government offices, for-profit corporations, and not-for-profit agencies, organizations, and associations. We excluded from our sample special libraries and special library departments located in medical institutions, law firms and law schools, universities and colleges or public libraries.

Our survey was completed in March of this year and the results have been very useful indeed. However, in order to round out our picture of special library involvement in formal networks, we need to obtain some additional information from you. I would be very grateful, therefore, if you would take a few moments to fill in your answers to the 10 questions on the attached questionnaire, and return it to me in the enclosed self-addressed envelope.

Should you run into difficulties, I can be reached at (301) 921-3405. My mailing address is:

Chief, Library and Information
  Services Division
National Bureau of Standards
Admin. Bldg. E106
Washington, D.C. 20234

We need to begin collating all our survey information around August 10th. Therefore, I would appreciate it if you could return the questionnaire and return it by August 3rd. Many thanks for your help and cooperation.

Sincerely,

Patricia W. Berger

Patricia W. Berger, Chair
NCLIS/SLA Task Force

Enclosure

cc: Members of NCLIS/SLA Task Force

____________________ Date

____________________ Name of Network

____________________ Answers supplied by
(Name/Title, please)

NOTE: SO THAT THE DATA WE OBTAIN FROM YOU WILL PARALLEL THE DATA WE OBTAINED EARLIER FROM SLA, PLEASE DO NOT INCLUDE SPECIAL LIBRARIES WHICH ARE A PART OF PUBLIC LIBRARIES OR ARE LOCATED IN LEGAL, MEDICAL, OR ACADEMIC INSTITUTIONS.

1. Circle correct answer: YES NO — As of 31 March 1981, did the Network membership include special libraries?

2. Circle correct answer: YES NO — On 31 March 1981, were some or all of the Network's services available to special libraries which did not hold Network memberships?

NOTE: IF THE ANSWER TO EITHER QUESTIONS 1 OR 2 IS "YES", PLEASE CONTINUE; IF THE ANSWER TO BOTH QUESTIONS IS "NO", STOP HERE AND RETURN THIS QUESTIONNAIRE IN THE ENCLOSED ENVELOPE.

3. What was the total number of non-member users of Network services on 31 March 1981? ____________

4. How many of this total were special libraries? ____________

5. What was the total number of Network members on 31 March 1981? ____________

6. How many of these Network members were special libraries? ____________

7. Of the total listed in question 6, please indicate the numbers or approximate percentages of special libraries falling into each of the following categories:

	Nos.	or	%
Corporate-for-profit	____		____
Not-for-profit	____		____
Government agency	____		____

8. Circle correct answer: YES NO

Are there legal or administrative barriers to special library participation in the Network? If the answer is "Yes", please describe below.

9. Circle correct answer: YES NO

Are special library users/members able to participate in the governance of the network? That is, are they eligible to vote and to serve on administrative committees, governing councils and boards and similar bodies? If the answer is "no," please state the reason(s).

10. On a scale of 0 to 3, please indicate the level of special library use of the following Network services:

0 = no use; 1 = limited use; 2 = moderate use; 3 = heavy use.

_____ cataloging

_____ interlibrary loan

_____ electronic mail

_____ acquisitions

_____ equipment procurement

_____ database procurement

_____ union lists

_____ training/continuing education

_____ other (specify)

THANK YOU. IF YOU WOULD LIKE A COPY OF THE RESULTS OF THIS SURVEY, PLEASE CHECK HERE ________

UNITED STATES DEPARTMENT OF COMMERCE
National Bureau of Standards
Washington, D.C. 20234

16 July 1981

Dear Executive Director:

I have two addenda to my letter and questionnaire on special library participation in networks.

First, the term "special library" is construed to include both libraries and information centers in agencies and organizations. Therefore, please count both kinds of information units in your answers to the questionnaire.

Secondly, I omitted the following question:

11. Can you identify the principal ways in which the special library members contribute to the network? If so, please describe.

Many thanks for your cooperation.

Sincerely,

Marian Bond for

Patricia W. Berger, Chair
NCLIS/SLA Task Force

cc: NCLIS/SLA Task Force

APPENDIX 2

Case Studies of Special Library Networking

A. The Regional Medical Library Network, by Phyllis S. Mirsky

The Regional Medical Library Network, encompassing health sciences libraries of all sizes throughout the country, developed as a result of the Regional Medical Library Program (RMLP). The RMLP is one of the programs funded since 1965 through the Medical Library Assistance Act and its extensions. The mission of the RMLP is to provide health science practitioners, investigators, educators, and administrators with timely, convenient access to health care information. The program is coordinated by the National Library of Medicine and carried out through a nationwide network of health sciences libraries.

In 1965 the Subcommittee on Facilities of the President's Commission on Heart Disease, Cancer and Stroke produced a report, "A Program for Developing Medical Libraries," which stated that health professionals had urgent needs for ready access to medical information. The Commission reported that medical libraries were too poorly supported to meet these needs. Without an effective medical library network, research efforts were unnecessarily duplicated and advances in medical knowledge were not applied to patient care. The Commission recommended that money be authorized and appropriated to the National Library of Medicine for a program to improve medical library services and to explore and exploit new technologies for more efficient management of the biomedical literature. The report pointed out that patterns of cooperation already existed among the medical libraries. In some instances these patterns centered on large resource libraries in various parts of the country. The report called for the development of a national network of medical library services and initiated the Regional Medical Library Program as a vital component of a national biomedical communications network.

The model for the network is hierarchical, with each higher-level facility acting as the primary source of information material to the echelon below. At the foundation of the network are the basic health sciences libraries, the more than 3,000 libraries of the nation's hospitals and small academic health sciences centers, which are the primary resources for the majority of health workers. The next level consists of more than 100 resource libraries, academic health sciences libraries with comprehensive information resources that can be shared. The backup facility for resource libraries in each of the regions is the Regional Medical Library. As each region's primary health information source, the Regional Medical Library has the additional responsibility for planning a coordinated system of information services within the region. The National Library of Medicine serves as a backup to the Regional Medical Libraries.

The first Regional Medical Library in the network, the Countway Library at Harvard University, was selected in 1967. In the next three years medical libraries at the University of Washington, Wayne State

University, University of California at Los Angeles, Emory University, University of Texas at Dallas, and the University of Nebraska, the College of Physicians of Philadelphia, the John Crerar Library, and the New York Academy of Medicine became Regional Medical Libraries. Services in the eleventh region, the Mid-Atlantic, were provided by the National Library of Medicine.

In 1982 the network was reconfigured from eleven to seven regions. The primary aim of the reconfiguration was to provide more cost effective regional groups while preserving or improving information services to health professionals. Through a competitive process the following institutions were awarded contracts as the new Regional Medical Libraries: New York Academy of Medicine serving the Northeast; University of Maryland serving the Mid-Atlantic and Southeastern states; the University of Illinois for the Midwest; the University of Nebraska, the Midcontinental states; the University of Texas at Dallas serving the South Central region; the University of Washington, the Pacific Northwest; and the University of California, Los Angeles for the Pacific Southwest.

The network was built on the informal cooperative patterns of service and the resource sharing of health sciences libraries. These cooperative working relations were extended. A national document delivery system was developed so that most health professionals have equal access to information wherever they are geographically located. In 1980 an estimated 2 million documents were provided through this system. Plans are underway to produce regional and local locator tools from machine readable files of biomedical serials holdings from the regions to aid in locating materials. Local libraries have been encouraged to develop their own collections to meet most of the information needs for the health professionals they serve. Educational programs have improved the abilities of librarians and other individuals serving as librarians to provide information services by teaching them how to manage small libraries. Consortia of smaller libraries sharing resources have been developed. Beginning in 1977, the National Library of Medicine emphasized the awarding of grants to fund consortia of health science libraries in the United States. By 1980, the library had provided almost 3 million dollars to about 100 consortia, representing some 600 institutions. These formal cooperative arrangements at the local level constitute a vital component in the network, and they have resulted in improved local library service to the user community. Through consulting programs administrators and educators desirous of starting or improving libraries were assisted. Annual updates and searching assistance are provided to searchers in each region. Initial MEDLINE training is provided in two regions to reduce training costs to institutions starting online centers. New online systems to improve the locating and requesting of library materials are being tested and evaluated in two regions. The RML staff in each region provides the coordination, communication, data collection, and leadership to maintain the network and its program. During these intervening years the medical libraries and their cooperative network have been strengthened.

Since the Regional Medical Library program is designed to support health care delivery, education, and research, health professionals in any region are able to look to their local libraries and information centers for timely and convenient access to meet their information needs. These libraries, as members of the Regional Medical Library Network, have available to them the backup health sciences resources from other members of this nationwide network.

B. LAWNET, by Betty Taylor

LAWNET is a legal information retrieval system for the legal profession. LAWNET traces its beginnings to an American Association of Law Libraries (AALL) Committee on Automation and Scientific Development proposal to study legal research methods and procedures as a basis for establishing a law network. In 1971, a task force sponsored by the AALL, joined by representatives from the American Bar Association and the Association of American Law Schools (AALS) set to work studying the proposal, made recommendations, and sought funding. Lack of funding resulted in the demise of the task force.

When interest in networking reintensified, a group of law librarians met informally in 1975 to discuss the possibilities of developing a cooperative bibliographic database of cataloging data already in existence. This group organized itself into a consortium which conducted a study and recommended action. AALL and AALS implemented the recommendations by hiring a consultant to advise on the feasibility of creating a separate law network. The positive response sparked the impetus for establishing LAWNET.

After several years of exploration, discussions, and negotiations, the AALL Networking Committee finalized arrangements with seven networks to obtain the machine readable cataloging of participating law libraries for the purpose of consolidating the data in a COM catalog. The final product was published on December 1, 1980, consisting of 272 microfiche of 176,533 separately cataloged items from 48 law libraries. The fiche contains author, title, and subject files, along with an index of network identification numbers, LC card numbers, and LC classification numbers. The entire inventory was sold out in six weeks, attesting to the success of this first venture.

The next phase (1981-82) will include accessing the bibliographic records online via one or more of the commercial systems presently available. Negotiations for a second addition of LAWNET COM II are underway, including provisions for frequent updates. Future developments will include expanded indices and tables of contents of books; indexing of legal periodicals not covered by the current online program; full text of law reviews and other legal periodical articles; biographical information of lawyers, judges, professors, and librarians, for specialties of practice, speaking, or participation in educational seminars; conference programs with full text of speeches; and encouragement of other database development needed by the legal profession.

The potential uses of LAWNET's potential are many. Because inflation (55.8% for books and 19.97% for continuations) persistently drives up the costs of published legal materials, the time is ripe for promotion of an automated system to permit a access to composite a wealth of information resources existing in networked law libraries. With the cooperation of the legal profession, LAWNET can become a primary, indispensable, legal information resource. Access to this resource could be within the reach of everyone needing legal information, because the costs of LAWNET are shared by the entire legal profession.

C. Federal Libraries and the FEDLINK Network, by Patricia W. Berger

Federal libraries exist as components of government agencies and their collections and services are structured to serve the very specific information needs generated by their parent organizations. This does not mean that a federal library handles only requests generated within its agency; the library may serve the public as well, but usually such service is a secondary responsibility. Federal library collections and services are geared to the missions of their agencies. They do not attempt to collect or reflect the general information needs of all the citizenry. Like other special libraries, federal libaries are information oriented. They are organized to provide information in whatever form needed to satisfy the work-related demands of an agency's staff and clientele. Over the years, federal libraries have built unique files and one of a kind collections as they worked to coalesce diverse types of information for their users.

The early 1970s marked the beginning of online capabilities in many if not most federal libraries and these capabilities expanded exponetially throughout the decade. In addition, the 1970s were a time of learning and operational change in the ADP procurement practices of the federal government. As the need and potential applications of "subscription" data base services accelerated, the federal library community responded by establishing a separate information network called FEDLINK, via their collective activities and efforts in the Federal Library Committee (FLC) which had been chartered by Congress in 1965.

FLC is mandated to "1) achieve better utilization of federal library resources and facilities, 2) provide more effective planning, development, and operation of federal libraries, 3) promote optimum exchange of experience among federal libraries, and as a consequence, 4) promote more effective service to the nation . . ." [1] Today, 40 federal agencies comprise the FLC which serves as a forum "for the implementation of collective policies and operations of federal librarians, libraries, and library users." [2] The FLC staff consists of the office of the executive director plus the staff of the Federal Library and Information Network (FEDLINK). FEDLINK was established to "minimize costs and enhance services through the use of online data base services for shared cataloging, interlibrary loan, adcquisitions, and information retrieval. FEDLINK's activities are designed to:

1) Expedite and facilitate online data base services among member libraries and information centers;

2) Develop plans for the expansion of such services to Federal libraries and information centers;

3) Promote cooperation and utilization of the full potential of networks and technologies to institutions and provide for formal relationships between library and information networks and the FEDLINK membership;

4) Serve as the major federal library and information cooperative system in the emerging national bibliographic network;

5) Promote education, research, and training in network services and new library and information technology for the benefit of Federal libraries and information centers. [3]

The 1979-80 FEDLINK membership included over 300 federal libraries, information centers, and information systems. Voting membership consists of over 100 members appointed by member libraries, bureaus, and minisystems. This body, operating through an elected seven member Executive Advisory Council (EAC), authorizes negotiations of contracts and agreements, governs FEDLINK's operations, and develops or approves its programs, objectives, policies, and budgets. For most major services provided by FEDLINK, there are Users Groups, organized by the FLC/FEDLINK membership to "discuss operational matters at the technical level and to facilitate communication among FEDLINK users of . . . service . . ." [4] The Users Groups are chaired by the staff of member libraries and information services within the FEDLINK system. FEDLINK has negotiated contracts with OCLC, Inc., for both their shared cataloging and interlibrary loan systems, Lockheed Information Systems' DIALOG data bases, System Development Corporation's (SDC) ORBIT data bases, Bibliographic Retrieval Service's (BRS) STAIRS data bases, Mead Data Central's LEXIS and NEXIS data bases, the New York Times Information Bank, LEGITECH, and POLITECH, online computer conferencing services, and DATALIB, an online cooperative acquisitions system.

A federal library contracts for online services via FEDLINK by executing an Interagency Agreement (IAG) with FLC. In addition, FLC negotiates blanket telecommunication service arrangements for federal libraries. In 1980, the General Services Administration (GSA) granted FLC/FEDLINK a $3.4 million Delegation of Procurement Authority to obtain teleprocessing services on behalf of federal libraries and information centers. In brief, FEDLINK provides its member-subscribers contract brokering and telecommunications services plus a professional forum to discuss the networking needs of Federal libraries and their users.

D. The Kansas City Library Network (KCLN), by Sara I. Hill

KCLN was incorporated by the State of Missouri on August 23, 1976, culminating several years of planning and research by many libraries in both Kansas and Missouri. Most of the charter members were health science

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librarians, who had begun regular meeting and needs assessments of health science libraries following the Medical Library Association meetings in Kansas City. Special librarians, along with academic and public librarians were invited to join.

Twenty-two names appear on the incorporation papers, namely, the library managers from the following institutions:

> St. Luke's Hospital of Kansas City; University of Missouri at Kansas City; Dental and Medical Libraries, Baptist Hospital; Lakeside Osteopathic Hospital; Avila College; St. Joseph Hospital; Independence Sanitorium; St. Mary's Hospital; Research Medical Center; Bethany Hospital; Marion Laboratories; Mid-West Research Institute; American Nurses Association; Children's Mercy Hospital; Providence-St. Margaret Health Center; William Jewell College; Shawnee Mission Mental Health Center; Western Missouri Mental Health Center; Jensen-Salisbury Laboratories; Menorah Medical Center; and Trinity Lutheran Hospital.

Shortly thereafter, Kansas City College of Osteopathic Medicine and Chem-Agro, a division of Mobay also joined. Membership dues were assessed at $25.00 annually, primarily to cover the cost of office supplies and the incorporation fee.

The first activity of KCLN was to provide courier service for members willing to pay for it. After evaluating several methods of charging, it was decided that members contracting for courier service would pay a $50.00 monthly fee over and above their annual membership fee. While not all members chose to participate, 12 libraries did support a trial courier service during the summer of 1977. Over a 2-month period, approximately

1,700 items were picked up; the service was judged successful and the service continues today with increased participation. The cooperation of several libraries in the metropolitan area which were not KCLN members was necessary to the success of the courier service, because these libraries served as "resource" libraries to KCLN members. Therefore, members of the KCLN Courier Committee contacted each of these libraries to arrange for the KCLN courier to be allowed to pick up and deliver materials needed by KCLN members. This was a welcome change for the resource libraries, because it meant that their staffs would be interrupted by one courier a day instead of 12. Eventually all the resource libraries cooperated.

KCLN's next project was a serials list. Earlier, two members had compiled a statewide serials list and the format had been developed using the New York serials list and SERLINE (National Library of Medicine serials online) as the authorities. Title entries were similar to those in Index Medicus, and were compatible with AACRII. One of the KCLN members provided initial keypunching of titles, history notes, and the holdings of the individual KCLN libraries. Nonmember special libraries were invited to add their holdings to the list and were provided a cost reduction incentive if they did so.

When one of the resource libraries found it necessary to cancel most of their psychiatry and psychology journals, KCLN conducted a survey to see if there were other subscribers to these titles which might be continued. The survey also measured who had borrowed which psychiatry or psychology journals over the previous years.

This small network now interacts with the larger Metropolian Kansas City Network (KC Metro Library Network) which is funded by the State of Missouri. At the time the KC Metro Library Network began, there was great concern about the continuing existence of KCLN because the dues to KC Metro were lower and the services provided appeared to be much greater. However, as KC Metro developed, it became apparent that the services were more appropriate for public libraries. For example, the KC Metro courier service was not extended to those KC Metro library members who also held memberships in KCLN. Today, there is a connecting stop which provides for the exchange of materials between the KC Metro and the KCLN couriers.

In 1981-82, KCLN began to investigate cooperative purchasing for those institutions who felt they might profit from such an arrangement. The projects of KCLN do not use sophisticated technology nor are they currently connected to any broad based networking activity. Some members have access to OCLC, many others do not. In the future, members may subscribe to OCLC via KCLN, but as of 1982, this project was still under discussion. KCLN exists on dues of its members. These are held at the lowest possible minimum and the network operates primarily by dint of volunteer labor.

E. The Illinois Library and Information Network (ILLINET) and the Illinois Regional Library Council (IRLC) 1971-1981, by Beth Hamilton

For the past decade, Illinois librarians have participated in two networking developments: ILLINET, the state-supported, statewide network, and IRLC, the Illinois Regional Library Council, a metropolitan, multi-type network, founded by Chicago-area librarians and supported primarily by federal Library Services and Construction Act (LSCA) funds.

ILLINET encompasses 18 library systems. Their full members are public libraries and their affiliate members are academic, school, and special libraries, as well as four Research and Reference Centers and three Special Resource Centers. All of these ILLINET components are administered independently, but joined together cooperatively by policies promulgated by the Illinois State Library. The systems are multi-type in membership, but single type (public library) in governance and orientation. The IRLC was multi-type in both membership and governance and had four special and academic libraries as its predominant membership component. ILLINET flourishes while IRLC, for political and financial reasons, has dissolved.

Illinois is a bibliographically rich state with an estimated 4200 libraries serving a population of over 11 million residents. Special libraries number 654, of which 412 are located in the Chicago metropolitan area. Very few special librarians were Illinois Library Association (ILA) members in 1962 when ILA jointly sponsored, with the Illinois State Library (ISL), the Rohlf Study of Public Library Service. Rohlf found "no worthwhile record of library cooperation" in Illinois and made recommendations which culminated in the passage of the Library Systems Act of 1965. With generous allocations from the state legislature, public libraries were able to establish 18 public library systems across the state as early as 1967.

In 1969, a group of Chicago library leaders started planning for a "Chicago Multitype Library Agency which would do for all types of libraries." The enthusiastic planners were preoccupied with library service benefits and over a 3-year period, painstakingly formulated by-laws and objectives to satisfy the diverse requirements of a multi-type membership. They did not address the difficult question of permanent support for Chicago-Metro (Chi-Met), but did establish the policy that membership fees be kept low enough to allow participation by the maximum number of Chicago-area libraries. Their by-laws called for governance by representatives of all types of libraries and library users, and an office with staff to carry out the business of the agency.

In October, 1969, Alphonse Trezza, Director of the Illinois State Library, invited the Chi-Met group to apply for LSCA funding. His recommendation for funding approval was contingent upon Chi-Met changing its name to the Illinois Regional Library Council (IRLC) and its service boundaries to exclude the Indiana counties of the Chicago Metropolitan Statsitical Area. These conditions were met and the Suburban Library System donated space for the Council's office. IRLC went into operation in 1972 with LSCA funding, a governing board of 15 representatives from all types of libraries, a president who was a university librarian, and an executive director whose previous experience had been in special and academic libraries. The Council did not have a mission widely accepted or well understood by all involved parties. IRLC's defined role as a coordinating, nonoperating unit was not acceptable to the Council Board members. However, the Council was able to claim many accomplishments during its first year of operation. With a two-person staff, a large cadre of volunteers, and a governing board of professional librarians eager to experiment with new programs, the Council created and published a library resources directory and monthly newsletter, initiated the Infopass Program of reciprocal access among member libraries, obtained an HEA grant to develop a union list of serials holdings in Illinois special libraries, planned an area-wide delivery service which linked all types of libraries, and began devising a 5-year plan of service. Its membership tripled and a second proposal for LSCA funding was submitted to and approved by the Illinois State Library.

In January, 1973, each Illinois academic library was invited to "become affiliated" with its local library system. Special libraries were invited to affiliate in October, 1973, school libraries in January, 1975. As this last type was taken in, the statewide network was officially named ILLINET, the Illinois Library and Information Network. System affiliation was voluntary, cost nothing, offered preferred interlibrary loan service from ILLINET's four Research and Reference Centers, and most importantly, promised furture OCLC service. The more subtle aspect of affiliation was the implied recognition that the systems were capable of serving a multi-type function. Nonpublic librarians joining the system did not suffer arguments that affiliation was enabled by an easy interpretation of a law and that a just as easy reinterpretation of the same law at a future time could unravel the whole network. They appeared unconcerned that they were entering a partnership in which they would have no vote in the decision-making process. The few academic and special librarians who understood the implication of the systems' conversion were outspoken in their demand for solid evidence that a single, multi-type network was the best configuration to serve the needs of Illinois libraries. They were not pacified by the appointment of multi-type advisory committees which were designed to keep the public library trustees on the system boards advised on nonpublic library interests. Many IRLC members believed that the issue was not whether a state-funded, statewide, multi-type network could be effective, but whether it was the only network needed to satisfy the complex present and future information needs of all Illinois library users. In 1974, references to ILLINET as a model for state multi-type library development began to surface. Some segments of ILLINET were working very well and at least two usual barriers to networking were eliminated for special librarians. First, lack of funds could not be claimed as a problem, since there was no membership fee for ILLINET. Second, legal restrictions against participation by libraries from the private, tax-paying sector were eliminated, so corporate libraries were getting OCLC terminals and enjoying benefits not available to the majority of corporate libraries in other states at that time.

The IRLC continued to build upon its successful beginning. Over the next 6 years, it offered a variety of programs and services which were well received by Chicago area librarians; some were even transported to other metropolitan areas. As the IRLC grew, it became increasingly energized by special librarians, who represented the largest membership component from the day of its founding to the end of its history. Special librarians were comfortable with the IRLC. It allowed them to participate on their own terms. They found that it was productive to work with other types of librarians and those who understood what was happening to IRLC reacted individually. The Illinois SLA Chapter, however, did not regard IRLC funding and status as its cause celebre, in spite of the perception of outsiders that it was a cohesive group which might have to be reckoned with by ILLINET decision makers. The business of obtaining assured status and permanent funding always plagued the IRLC. Several membership committees investigated ways of providing full support by membership fees and service charges and the staff solicited donations from foundations. When none of these approaches succeeded, the Board developed a legislative package, refined through membership hearings, and requested the support of the Illinois Library Association in getting it introduced to the 1976 legislature. The ILA legislative committee questioned the timing for seeking new program legislation, pointing out its plans to seek per-capita support for public libraries, as well as an increase in the Systems Act formula, since the systems had not received an increase in 3 years. The legislative plan was postponed and a second attempt met with similar discouragement. . The only alternative for survival funding was another LSCA grant, although IRLC had been advised that the 1974 grant would be its last. IRLC was able to obtain a grant for operations through fiscal 1979, again with the State Library Advisory Committee's caveat that this was to be the last grant.

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However, a later grant was awarded to allow planning time for a successor organization to the Council.

Beginning in 1975, a sizable portion of the state's LSCA allocation was spent for ILLINET's Interlibrary Cooperation Consultant Program, a mechanism to provide each system with $30,000 a year to hire staff to work closely with affiliate libraries. A 1980 out-of-state evaluation team found the program worthy of continuation but also noted that there was widespread lack of knowledge about system services, confusion about the consultant's roles, and strong resistance on the part of some trustees to change board composition to allow multi-type governance. From 1978 through 1980, IRLC board members addressed the question of an appropriate successor organization. Endless deliberations on possible successors were held, until finally the system directors issued a statement in February, 1981, flatly stating that their further support of IRLC was inappropriate. The IRLC closed its doors on June 30, 1981, when its last LSCA grant expired, and shortly after about one-fourth of its dues-paying members voted to replace it with an advisory Assembly which would collect expressions of need and transmit them to the metropolitan system directors for implementation. Any library which is an ILLINET member is eligible to join the Assembly and pay dues. The Assembly will elect a Board which will serve in an advisory capacity to the metropolitan systems and to a "focal person" who will be appointed to provide liaison with member libraries.

There is little doubt that in Illinois, networks are only supplementing the "old boy - old-girl network" upon which special librarians have relied for so long. While the older construct is still effective, there is some doubt that it will always continue to be so. Special librarians need to reach out now to interact with other professionals on an equal footing in order to influence the far-reaching decisions which will determine the configurations of the nation's library networks for many years to come.

LIBRARY & INFORMATION NETWORKING AT HEWLETT-PACKARD

Mark Baer
Director of Libraries
Hewlett-Packard Company, Inc.
Palo Alto, California

In June, 1966, Hewlett-Packard, a decentralized corporation, established two new, centralized operations - the Hewlett-Packard Laboratories and the Corporate Library.

Throughout the 1950's HP had been a highly centralized company, enjoying all the benefits of "small company" operation; flexibility of action and reaction, easy communication and a sense of common identity. Growth due to successful products and conservative acquisition had brought rapidly accelerating growth which endangered the "small company" atmosphere.

To counteract this, the policy was adopted to spin off new autonomous divisions whenever the number of personnel associated with a particular product line grew to approximately one thousand.

At the time of the establishment of the Corporate Library and the HP Labs, the company had a total employment of approximately eleven thousand with operating divisions in California, Colorado, Pennsylvania, New Jersey and Massachusetts, as well as in Europe. Each of these divisions contained all of the services consistent with providing a small, autonomous company environment. They functioned as a part of the total corporation through identity of goals and objectives with those established by Corporate Management and through the establishment of corporate standards and procedures the implementation of which was the responsibility of Corporate Staff, i.e. Vice President Personnel, Vice President Marketing, etc.

The Vice President Research & Advanced Development reported directly to the President and the Corporate Libraries Manager directly to the Vice President R/D - thus, the Corporate Library was a function which resembled a Corporate Staff Function on the organization chart, although not specifically designated as one. Indeed, its charter established as one of the manager's responsibilities to develop "the basic library strategy for the Company, including the central corporate collection and information services, the division libraries, branches, satellites, etc.

In the years following 1966, as new divisions were created, many of the managers and professional personnel in the new divisions having been transferred from the Palo Alto area were accustomed to having information services available to them locally. It was inevitable that, having had these services before, they would eventually establish division libraries. Those divisions whose location was remote, both from the Corporate Library and from significant local library resources, were the first to establish small, working collections.

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Preoccupied with building the resources, staff and services of the Corporate Library, there was little Corporate involvement initially in the development of these new division libraries. Possibly as a consequence, too little thought was given to their services, goals and objectives as well as their relationship with the Corporate Library. In addition, no consistent standard for qualified staff to run them had been established within the divisions.

By the 1970's unacceptable variations in quality of library facilities, staffing, collection and services had developed. These inequalities were brought to the attention of management and a proposal was made to provide for parity of information access for all HP employees as well as the establishment of standards and procedures to provide a uniform quality of information service throughout the Corporation. At this time world-wide employment had reached approximately 50,000 and sales were approaching the three billion dollar mark. The total number of divisions, including both those with and those without libraries was approximately thirty.

The management proposal contained three major requests:

1. Designation of the Corporate Library as a staff function with the responsibility of establishing standards and procedures to be followed throughout the Corporation.
2. Financial support for the establishment of three pilot project libraries in divisions that had indicated a desire to have one.
3. Management support for the creation of a corporate-wide library/information network to implement standards and procedures and to facilitate the establishment of quality information service for all HP employees at all company locations.

This proposal was accepted by the Corporation Operations Council and the following guidelines were developed for the funding and administration of the pilot project libraries.:

The Corporate Library would:

1. Provide all funding for the pilot project library except occupancy costs.

2. Recruit, interview, hire and train staff.

3. Supervise Division Librarians and assist in budget preparation, equipment selection and procurement.

4. Provide centralized technical processing for pilot project libraries.

The Division would:

1. Provide adequate, appropriately located space and fund occupancy costs for the library.

2. Assist in selection and approve subsequent

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hiring of staff as well as assisting in periodic performance evaluations.

3. Provide assistance, as required, in building the core collection.

It was agreed that the three pilot projects would report to the Corporate Libraries Manager for a period of not less than one year and not more than two years. Within that time frame, when it was mutually agreed by both the Libraries manager and the Division manager or his designated representative that the library was fully operational, it would immediately be transferred to the Division for all funding and administration.

FIGURE I PILOT PROJECT

The purpose of the pilot project libraries was two-fold; it would assure that the new division library was organizaed and functioning according to HP standards and it would provide a (hopefully) successful working example for other divisions to follow.

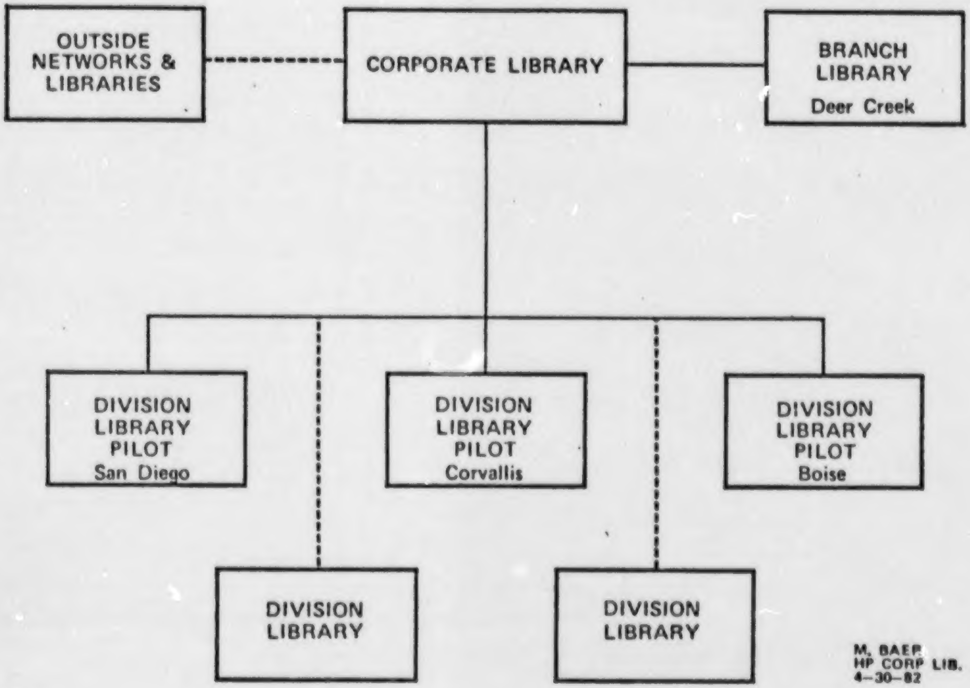
Within a period of twelve months all pilot projects were transferred to their respective divisions. In addition, the divisions were now contacting the Corporate Library for a review of their libraries, training and evaluation of their staff and, in several cases, it resulted in better quarters or increased clerical support. The pilot projects, themselves, resulted in the establishment of three new libraries. Completion of the original management proposal lacked only the final and potentially most difficult step - the establishment of a Coporate-Wide Library/Information Network.

From its inception, in 1966, the HP Corporate Library had been engaged in networking, both through formal and informal arrangements. We were participants in a local SLA Union List of Serials covering Scientific, Technical and Business Periodicals (this now forms an integral part of the Calfornia Union List of Periodicals). We had an ongoing arrangement with the California State Library, suypplying them with a main entry card for all of our acquisitions for entry in the California Union Catalog and, when it was organized, we joined the Cooperative Information Network (CIN), a five-county, multi-type library network, and later, executed a shared cataloging contract with the Research Library Information Network (RLIN). This made access to our collection widely available to public and academic libraries within the state of California.

In June, 1976, the California Library Authority for Systems and Services (CLASS) came into existence with the signing of a "Joint Powers Agreement". This legal entity was intended to facilitate the cooperative activities of all types of libraries, both in the public and the private sector. Among the services offered by CLASS was that of acting as agent for such diverse services as RLIN, DIALOG, BRS, ORBIT, ONTYME (an electronic mail system) and other library related services, offering a reduced or "group" rate for these services and a central billing to cover them.

CORPORATE LIBRARY PILOT PROJECT

(1979-1980)


OUTSIDE NETWORKS & LIBRARIES
CORPORATE LIBRARY
BRANCH LIBRARY
Deer Creek
DIVISION LIBRARY PILOT
San Diego
DIVISION LIBRARY PILOT
Corvallis
DIVISION LIBRARY PILOT
Boise
DIVISION LIBRARY
DIVISION LIBRARY

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4-30-82

FIGURE I

It seemed a logical step in forming an internal network to start by making it possible for all Division Libraries to access these services through CLASS at the beneficial group rates. This was possible because, as a California Corporation, our divisions throughout the US would be regarded as part of the parent corporation if their services were contracted for through the offices of the Corporate Library.

Easy access to these services at a reduced cost provided an important factor in motivating the division librarians to support a network concept. In addition, we determined that some of the services should be funded by the Corporate Library as a "network function" thus further relieving the division libraries of a large share of the cost of networking.

FIGURE II SERVICES CONTRACTED THROUGH CLASS

FIGURE III SERVICES FUNDED BY THE CORPORATE LIBRARY FOR THE NETWORK

In forming the HP Library/Information Network, it was necessary to fully recognize that the division librarians' first responsibility was to the division that housed them - supplying the corporate-wide service goal was the responsibility of the Corporate Library. In addition, our relationship to them was somewhere between "first among equals" and "one among equals". From a pragmatic point of view, the division librarians would have to see advantages to themselves and to their users as a result of the network activity and not simply be asked to involve themselves in the name of some intangible greater good.

By providing centralized technical processing and funding their access to RLIN and providing them with an electronic mail service which increased their ability to communicate among themselves and with other libraries as well as with the Corporate Library, the Network was able, simultaneously, to relieve them of a significant workload and enhance their overall capability to respond to the needs of their patrons.

The Corporate Library also gained from this electronic togetherness - it increased our motivation to undertake further efforts and seek the money necessary for the creation of on-line private files. An added advantage was the reduction in unit cost of such files since they could now, while stored on BRS, be remotely accessible additions to the information resources of all division libraries. HP Author and Literature Search files were created and preparations made for the creation of a Scientific and Technical Skills file, Competitor File and HP Equipment Applications file.

It is apparent the degree to which networking, and the technological advances which have brought it to its present state, were invaluable in the establishment of the HP Library/Information Network in a fairly brief time, but the existence of the internal Network has also increased the size and significance of our contribution to networking generally. If the significance of a library's contribution to a network is judged solely on volume count, then the contribution of most special

CLASS CONTRACT SERVICES

RLIN---Shared Cataloging

DIALOG-------------------------------Bibliographic Data Base

ORBIT--------------------------------Bibliographic Data Base

BRS----------------Bibliographic Data Base & Private Files

TECHNET----Bibliographic Data Base & Stds. Acquisition

ONTYM--Electronic Mail

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FIGURE II

SERVICES FUNDED BY THE CORPORATE LIBRARY FOR THE NETWORK

RLIN-- Search Only Mode

ONTYME-------------------------------Electronic Mail Network

TECHNET----------------------------Specifications Acquisition

ANNUAL SEMINAR------Travel, Food, Housing, Materials & Training

MICROFICHE----------Collection of All -hp- Product Manuals

NETWORK NEWS----------Monthly News Letter Containing Information About New or Revised Services, -hp- Technical News, New Information Sources, Etc.

TECHNICAL PROCESSING---------- Online, Remotely Accessible Catalog, Plus Cards for Their Own and Their Departmental Collections

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FIGURE III

libraries is insignificant in comparison to the contribution of the major research libraries. However, our ability to contribute resources of high quality and great depth within our specialized subject areas is indeed a contribution of significance. As a graphic example - Stanford and Berkeley have both borrowed from HP from time to time and Stanford graduate students are frequently sent to use the HP Corporate Library by prior appointment.

Now beginning the fourth year of operation, the HP Library/Information Network has made a good beginning, but its major achievements lie in the future.

FIGURE IV CURRENT NETWORK ORGANIZATION

FIGURE V CORPORATE LIBRARY ORGANIZATION CHART

Our plans for the future are being shaped in large part by our Task Force on Library Automation which is made up of five members of the Corporate Library Staff, one division librarian and two senior computer application engineers.

It is our intention, utilizing one of the HP 3000 computer series, to establish an internal data base which will not only contain our RLIN files, but also all private files, as well as providing automation programs for the full range of library operations. This system will be a remotely accessible, time share system capable of handling access from more than four times the current number of division libraries. Like the HP 3000 system in use at Claremont and Virginia Polytechnic, it will permit us to retain our shared cataloging relationship with RLIN, while giving us internal control of our own data base so that its products can be closely configured to accord with the needs of our patrons. It will allow for individual divisional file structures to serve idiosyncratic needs.

The prime goals toward which the Task Force is working are:

1. Do not re-invent. If existing library software for the HP 3000 meets our requirments, use it.

2. The end result must be better service to the user.

3. Reduction or elimination of repetitive, work-intensive library processes.

4. Maximum flexibility to permit each division library to format data locally in the manner most useful to them and their users.

5. Capability of continuing to interface with external networks and network utilities.

For our long range goals - we have come to believe that the major heterogenous library utilities such as OCLC and RLIN, while they represent an enormous advance in shared resources and improved access, do not represent the final answer. We do not believe

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LIBRARY / INFORMATION NETWORK

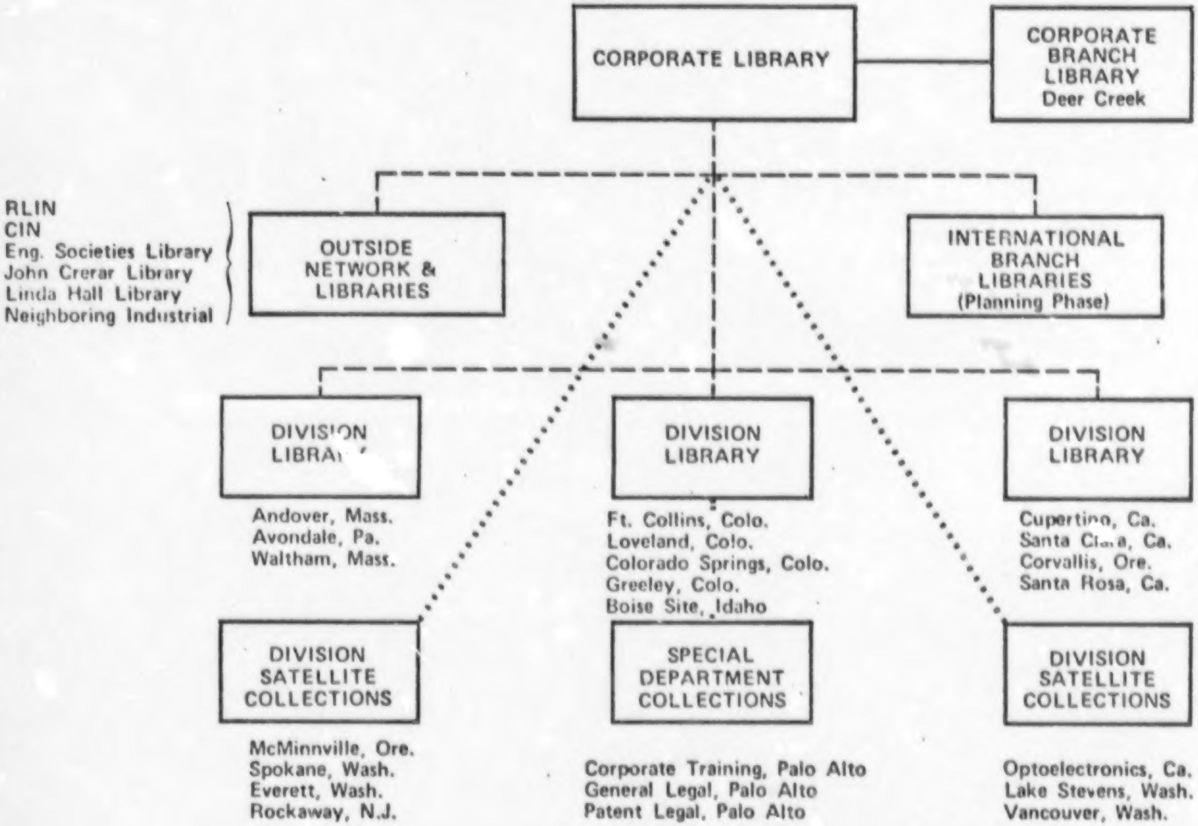
CORPORATE LIBRARY
CORPORATE BRANCH LIBRARY Deer Creek
RLIN
CIN
Eng. Societies Library
John Crerar Library
Linda Hall Library
Neighboring Industrial
OUTSIDE NETWORK & LIBRARIES
INTERNATIONAL BRANCH LIBRARIES (Planning Phase)
DIVISION LIBRARY
Andover, Mass.
Avondale, Pa.
Waltham, Mass.
DIVISION LIBRARY
Ft. Collins, Colo.
Loveland, Colo.
Colorado Springs, Colo.
Greeley, Colo.
Boise Site, Idaho
DIVISION LIBRARY
Cupertino, Ca.
Santa Clara, Ca.
Corvallis, Ore.
Santa Rosa, Ca.
DIVISION SATELLITE COLLECTIONS
McMinnville, Ore.
Spokane, Wash.
Everett, Wash.
Rockaway, N.J.
SPECIAL DEPARTMENT COLLECTIONS
Corporate Training, Palo Alto
General Legal, Palo Alto
Patent Legal, Palo Alto
DIVISION SATELLITE COLLECTIONS
Optoelectronics, Ca.
Lake Stevens, Wash.
Vancouver, Wash.

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FIGURE IV

CORPORATE LIBRARY ORGANIZATION CHART

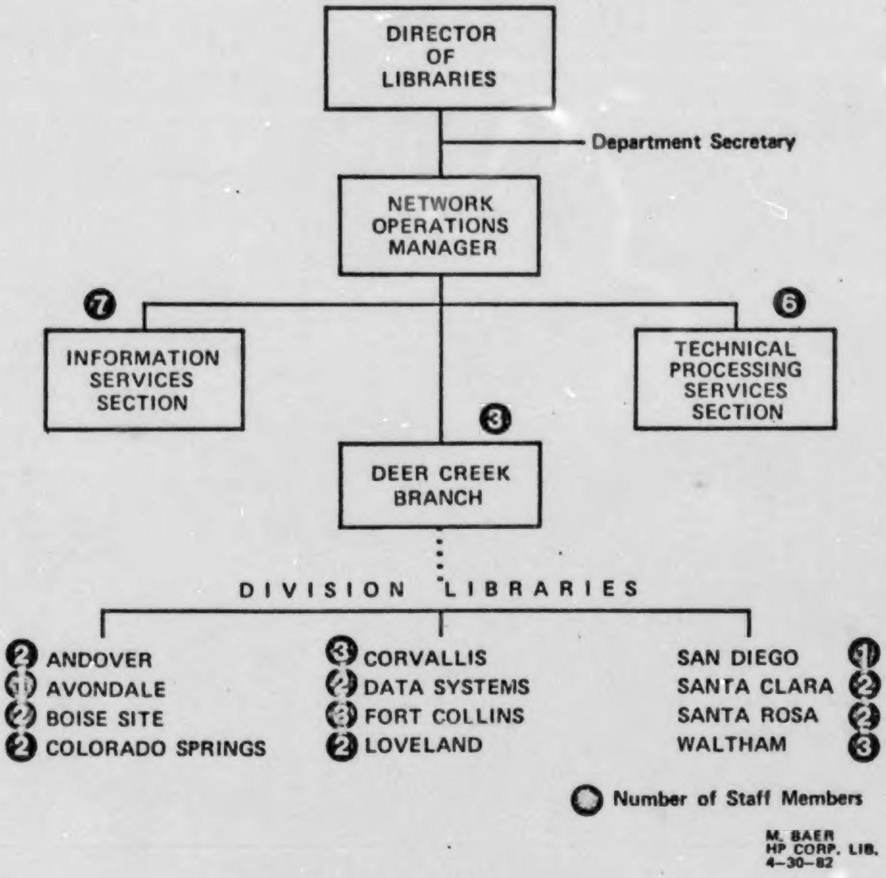
DIRECTOR OF LIBRARIES
Department Secretary
NETWORK OPERATIONS MANAGER
⑦ INFORMATION SERVICES SECTION
⑥ TECHNICAL PROCESSING SERVICES SECTION
③ DEER CREEK BRANCH
DIVISION LIBRARIES
② ANDOVER
① AVONDALE
② BOISE SITE
② COLORADO SPRINGS
③ CORVALLIS
② DATA SYSTEMS
③ FORT COLLINS
② LOVELAND
SAN DIEGO ①
SANTA CLARA ②
SANTA ROSA ②
WALTHAM ③
○ Number of Staff Members
M. BAER
HP CORP. LIB.
4-30-82

FIGURE V

that a heterogenous utility has the capability of being all things to all users - a belief that is shared by some members of the management of these utilities. They represent a vast reservoir of data upon which each library can draw - but to tailor this data to a specific user population is not, at least currently, compatible with the goals and objectives of the large utilities. Perhaps the future will see an additional type of utility, subject based and oriented toward a particular type of user library - a subset of the multi-type utility.

In the same manner that RLIN represents a generalized data resource for the HP Library/Information Network, the HP internal data base will require additional local refinement by the division librarians utilizing local computer capability. The final product, ideally should be tailored by the information specialist interfacing directly with the user.

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[3] Ibid., pp. 2-3.

[4] Ibid., pp. 3-4.

Appendix 3

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APPENDIX 4

NCLIS/SLA Task Force Membership, Chronology, Press Releases

National Commission on Libraries and Information Science (NCLIS)
and
Special Libraries Association (SLA)

Task Force on the Role of the Special Library in Nationwide Networks and Cooperative Programs

Members

Patricia W. Berger, Task Force Chair
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Barbara M. Robinson, Task Force Editor
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NCLIS/SLA TASK FORCE ON THE ROLE OF THE SPECIAL LIBRARY IN NETWORKS AND COOPERATIVES CHRONOLOGY

1980

August	NCLIS announces establishment of Task Force.
27-28 October	First meeting convened at the Grand Hyatt Hotel in New York City. Task Force adopted a revised mission statement. Its membership divided among five Working Groups to study five broad areas as they relate to special libraries. Task Force briefed by representatives from SLA, NCLIS, and AALL.

1981

14-15 January	Second meeting convened at the Mayflower Hotel in Washington, D.C. Task Force voted to survey the SLA membership to determine the level and extent of networking activity represented by SLA's membership. Papers from the five Working Groups received and a tentative action plan for how the Task Force will proceed adopted. Task Force briefed on FEDLINK, LAWNET, and NCLIS's Public Sector/Private Sector Interface Task Force.
February	Task Force Survey Questionnaire mailed to SLA membership.
March - 27 April	Ad Hoc Working Group of SLA's Networking Committee conducted preliminary analysis of Survey results.
27-28 April	Third meeting convened at the Dupont Plaza Hotel, Washington, D.C. Task Force briefed on preliminary analysis of SLA Survey, on the work of ANSC Z39 and on the NCLIS/LC Intergovernmental Library Cooperation Project. A tentative online for the Final Report was developed and deadlines were identified for preparations of drafts for some of the Chapters.
June	SLA Survey data reanalyzed by Task Force members.
July 1981	Task Force Chair surveyed 17 of the larger library networks and bibliographic utilities to corroborate networking data received from SLA members.
4 August	Task Force Chair testified at a public hearing of the state of Virginia's Commission on a State Library Networking System.

21-22 September	Fourth and final meeting convened. At CLR's request, Task Force reviewed a draft of the Rush/Stevens Report and formulated a response to CLR. Task Force reviewed and discussed results of surveys. Task Force reviewed drafts of two Chapters for final report and formulated some tentative recommendations for inclusion in the Report.
1982	
February	Task Force Chair forwarded first draft of Executive Summary and Recommendations to Task Force members for review and comment.
June	Task Force Chair forwarded draft of the Executive Summary and Recommendations to the SLA Board and NCLIS Commissioners for review and comment.
1983	
March	Task Force Chair forwarded draft of final Report to Task Force members for review and comment.
June	Task Force Chair reviewed final Report with SLA Board and NCLIS Commissioners. SLA and NCLIS accepted the Report and dismissed the Task Force with thanks.
October	Report reviewed by the Library of Congress's Network Advisory Committee.
December	Task Force Chair delivered corrected, final text of Report to NCLIS and SLA.